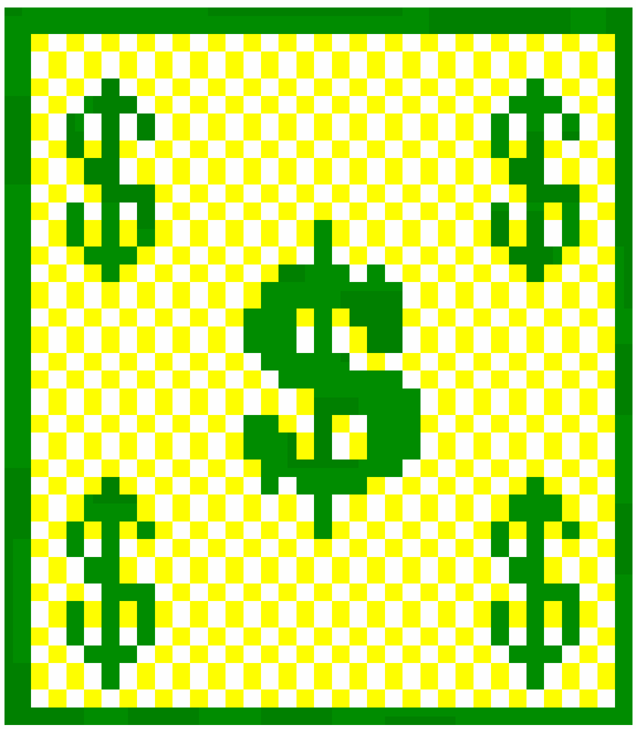
Chapter

5

Financial Management

Arizona AIM System



Local Agency User Manual

April 2008

Table of Contents

Chapter 5 - Financial Management

Capabilities

Purpose

The Financial Management functional area provides the State WIC and CSF Program managers a means to track and manage food grant expenditures and administrative costs. It allows State staff to record budget information, track administrative and program fund expenditures, monitor actual cash flows, and calculate rebates due from manufacturers on approved products (i.e., infant formula). The data is expected to allow WIC and CSF managers to perform more sophisticated analyses of WIC and CSF Program participation packages and costs, fund usage and various trend analyses for improved financial management.

Financial Management functionality will also assist Local Agency Directors with Wait List Capabilities, Participation Tracking and Caseload Allocation at the Clinic level.

The Caseload Management functional area is intended to support the tracking and analysis of participation in the WIC and CSF Programs. At the State level it translates food grant dollars into caseload, collects and stores information on caseload allocation to Local Agencies, monitors participation against assigned caseloads, and estimates future caseloads for use in the cash flow analysis. At the Local level it allows Directors to assess staffing, space and other resources.

General Description

The section below provides an overview of all functionality for the Financial Management Module. Detailed instruction is provided only for those functions utilized by the Local Agencies. Description and instruction for Reports is limited to only those reports that will be run by Local Agency staff. For complete instruction on the Financial Management Module please refer to the State Agency User manual.

The Financial Management module is made up of the following functions:

Record Grants and Budgets

State WIC agencies are given a Federal Grant for food, nutrition services and program administration each year. Food grants are used to pay food instruments submitted by WIC Participants to authorized vendors for approved foods. Nutrition services and program administrative funds are used for certification assessments, nutrition education, food delivery systems and other administrative functions. The amount of the grant is determined by FNS with the assistance of infant formula prescribed by regulation. Although the WIC Program does not require matching funds, some State agencies receive funds for food and/or nutrition services and program administration costs from their State budget. These amounts vary from year to year.

State WIC agencies are required to maintain a distinction between funds that are received from the Federal government and any funds received from the State government. It is also important for State agencies to be able to track WIC expenditures and participation according to both the State and the Federal fiscal year budgets, which may vary substantially.

FNS recovers and reallocates funds during the course of the fiscal year, allowing State agencies to receive an increase to their original grant. A decrease to the original funding might occur if a State could not use all of its funds.

State agencies are allowed to use nutrition services and program administration funds for food costs, but cannot use food funds for nutrition services and program administration costs except under the conversion provision. If a State Agency serves more participants than the Federal Funding Formula projects, it may convert food dollars for actual administrative expenses. Each participant over the Federally projected caseload level earns a conversion of food funds that is equal to the Agency's Federally prescribed administrative grant per participant.

The Arizona WIC System supports all of these requirements. Additionally, the System supports State agencies' need for information on Federal and State funds allocated to the WIC Program to determine the maximum caseload available to the State.

Record Administrative and Food Grants

This functional requirement is concerned with the recording, tracking and monitoring of Federal grants (food and administrative), and producing information required for FNS reports.

All recording of actual and estimated funding is done in the WIC Funds functionality. The system enables users to capture Federal fiscal year/month, dollar value, estimated/actual information and adjustment reasons. Additionally, users can enter Grant Award Document (GAD) or Letter of Credit (LOC) information to tie the WIC Funds entry to an authorizing document.

The selection of an adjustment reason determines where the funding amount will be reported in the FNS reporting modules.

Additionally, users will be able to enter remarks regarding WIC funding.

Support Other Funding (Non-Federal)

Because of its table driven nature, the AIM System easily incorporates additional funding sources as they become available. In the Tables submenu of the system, users can define the Fund Sources, Letters of Credit, Amendments and Program Fund Uses of any moneys coming into the program. Utilizing these values, users can then go into the WIC Funds window and define when moneys will become available to the program and where those moneys came from, including all non-Federal sources.

Finally, the system allows the information to be printed out as a report at anytime.

Monitor Funding Status

The Arizona WIC Financial Management System records, tracks and monitors the usage of Federal food grants by month of issuance. Several processes and reports will provide this functionality. Of primary importance will be the cash flow analysis report, it not only measures program liquidity, but assists in estimating statewide caseload (Arizona caseload estimation is based upon a financial model). The cash flow analysis predicts the draw down of food grant funds based upon the following factors:

- Caseload
- Rebates
- Conversion Rates
- Threshold Participation
- Average Food Package Costs
- Carry Forward Amounts
- Food Expenditures
- Back Spend Amounts

At the beginning of the fiscal year the values on the cash flow analysis will be estimates. As actual numbers become available, they will replace the estimated values in the analysis and the remaining months in the fiscal year will be recalculated to reflect changes in cash position. Also assisting in the monitoring of food grants will be the FNS-498 Monthly Financial Management Report which will also be produced by the system.

The system will calculate the monthly estimated conversion dollar amount by multiplying participants served by the projected participation level at the established dollar rate. All of those calculations will be done with the cash flow analysis functionality using values entered by the WIC financial community. At the beginning of a Federal fiscal year, users will be asked to enter several financial factors.

The cash flow analysis function calculates several factors and places them into a spreadsheet where by users will enter their estimated caseload levels. Based upon these estimated caseloads, the system will recalculate cash flow. If any of these estimate caseloads are over or under the conversion threshold participation level, the calculation of the estimated conversion food to administrative funds will take place. The total year-to-date conversion funds will be a net amount.

The system calculates monthly and year-to-date gross food outlay and obligations minus rebates based on estimated and actual data to yield net food outlays and obligations. This functionality will be provided within the cash flow analysis module.

The system calculates monthly pre and post rebate food package costs based upon estimated and actual participation and food outlays. As actual values become available within the system, they will be posted and presented in the cash flow analysis functionality.

The system records and tracks food obligations for all future month's FI issuance as well as all non-closed past month's. Obligations are tracked/calculated in the cash flow analysis, FNS-498 report and the WIC Obligations and Expenditures report. All of these functionalities will calculate obligations for future month's which in the Arizona WIC Program can be up to one year in the future.

Support Financial Analysis

The main thrust of financial analysis is provided by the cash flow spreadsheet discussed previously. Additionally, the system provides decision support by allowing users to compare the previous year's spreadsheet to the current year spreadsheet.

Monitor Obligations and Expenditures

State agencies track obligations to compare actual costs to planned expenditures. The rate of expenditure of program funds is a concern to program administrators who must react to this information and adjust the caseload targets accordingly. State agencies must continuously monitor the cash flows and obligations of the State WIC Program so as not to place their financial commitments to participants, vendors, and creditors in jeopardy. Advance warning of surpluses or shortages is critical to minimize potential disruption of the overall WIC Program operations. FNS issues one-third of the total annual Federal grant in first quarter, one-quarter in the second and third quarters, and the remaining one-sixth in the final quarter.

FNS requires three specific financial reports from State agencies; the WIC Monthly Financial and Program Status Report (FNS-498), the annual Financial Status Report (FNS-227), and NSA Expenditures (FNS-227A). All of these reports require information regarding the expenditure of Federal funds, so it must be possible for the system to distinguish between the expenditure of Federal and State funds.

Budgets are prepared annually, but should be monitored on a monthly basis. The system calculates the percentage of the food grant or nutrition services/program administration allotment used to date. It then projects the total expenditure through the end of the Federal fiscal year based on current expenditure rates to compare total budgeted expenses to total projected expenses, so that caseload and expenditure adjustments can be made.

Monitor Food Obligations

The Arizona WIC Program tracks obligations for all future month's FI issuance (based on its ability to issue up to three month's food instruments at a time) as well as all non-closed past months.

The system calculates obligated values based upon the average value of the latest three months redemption history for the FI type that was issued. This value is then reduced by the average redemption rate by participant category within FI type. This estimated obligation value is recorded as part of the issuance information so obligations can be appropriately decreased when redemption information is made available.

This value is rolled into the spreadsheet function at the end of the issuance month. Until that point in time, the most accurate means to calculate obligations is the estimated food package cost multiplied by the estimated participation caseload.

This non-redemption rate reduces outstanding obligations in the Cash Flow Analysis, FNS-498 and WIC Obligation and Expenditure modules.

Food obligations are obtained by adding the cost of redeemed and paid food instruments (retrieved from the Food Instrument data store) to the expected value of the outstanding food instruments for each issue month (the product of the food instruments not redeemed multiplied by the food instrument redemption rate).

Monitor Administrative Expenses

The AIM System monitors administrative expenses by capturing monthly inputs of administrative outlays and unliquidated obligations. These values will be provided by the current System.

The current System values will be adjusted in the same manner as they are now and then input into a function that captures data for the FNS 498 report.

It should be noted that the values entered are cumulative, Federal fiscal year-to-date values.

Monitor Program Finances

State agencies track food obligations to compare actual costs to planned expenditures. The rate of expenditure of program funds is a concern to program administrators who must react to this information and adjust the caseload targets accordingly. It is important for State agencies to continuously monitor the cash flows and obligations of the State WIC Program so that they do not place their financial commitments to participants, vendors, and creditors in jeopardy. Advance warning of surpluses or shortages is critical to minimizing potential disruption of the overall WIC Program operations.

Budgets are prepared annually, but will be monitored on a monthly basis. The system calculates the percentage of the food grant allotment used to date and project the total expenditure through the end of the Federal fiscal year based on current expenditure rates to compare total budgeted expenses to total projected expenses, so that caseload and expenditure adjustments can be made.

The system enables State Agency users to view the effect of food expenditures on the agency's cash position at any time. This function is intended to provide the State Agency with information on the cash flows and balances of the State WIC Program. The system must record all cash inflows (grants, rebates, recoveries, etc.) as well as cash outflows (vendor payments, administrative expenses, etc.). Just as the ability to monitor food obligations was critical to caseload management in a previous function, the capability to review the Agency's cash position is critical to the financial management of the WIC Program.

Produce FNS Reports

State agencies are required to submit three reports to FNS that provide information on the financial status of the WIC Program for that State. These reports are necessary for FNS to fulfill its role in providing oversight for the entire WIC Program and provide data used for the Federal Funding Formula. All reports are submitted to FNS regional offices which are responsible for reviewing them and resolving any discrepancies or open issues before sending them to FNS headquarters in Washington, D.C.

The system produces accurate verifiable FNS reports including:

- FNS-498 Monthly Financial Management Report
- FNS-227 WIC Annual Close-out Report
- FNS-227A NSA Expenditures Report

All of these reports are based upon the estimated values found in the cash flow analysis (where applicable) and the actual redemption and participation values calculated by the system. In particular, food obligations will take into account redemption rates by participant category and FI type. This significantly improves the program's ability to predict cash outlays during the Federal fiscal year.

The Monthly Financial and Program Status Report (Form FNS-498) includes detail on the food obligations, food outlays, rebates, nutrition services, grant funds available, program administration expenditures, and participation for the State for each month of the Federal fiscal year. This report is due within one month after the report month.

The FNS-227, WIC Annual Close-out Report, uses the numbers reported on the FNS-498 report summarized into high level groups under the food and administrative grants.

The FNS-227A report captures the amount of time (in dollar amounts) that employees expended in specific areas:

- Administrative
- Direct Participant Services
- Breastfeeding Promotion
- Nutritional Education

All of these reports will be parameter driven with users able to enter a Federal fiscal year value or a range of months within a Federal fiscal year.

Produce WIC Program Annual Closeout

The WIC Program Annual Closeout Report, FNS-227, is a federally required report describing the WIC expenditures broken down by category over the fiscal year.

Produce NSA Expenditures

The FNS-227A was developed due to the need for an annual summary report that would provide the data necessary to more fully describe the use of Nutrition Services and Administration (NSA) funding. Although relatively small in relation to the other dollar amount spent on food benefits, funds for NSA represent a significant and increasing share of total NSA expenditures for the report year by functional category. The FNS-277 allows WIC State agencies to show that the majority of WIC NSA funds pay for participant services and nutrition education benefits, and not traditional administrative overhead costs.

The FNS-227A is the only place that the expenditure for nutrition education and breastfeeding promotion and support need to be reported by State agencies.

Produce WIC Monthly Financial and Program Status

This report provides monthly and year to-date activity for food obligations and outlays. It is the principal information used by FNS to monitor the financial status and participation levels of the State Agency's WIC Program.

The WIC Monthly Financial Management and Participation Report (Form FNS-498) is prepared each month by State Agencies using information from their automated WIC System. In addition, State Agencies use Form FNS-498 to report actual nutrition services and administrative (NSA) expenditures and unliquidated obligations. It is also used to report the source of funds available to support both food and NSA expenditures.

Closeout will be defined by the system as occurring whenever the current system date is beyond the days to redeem added to the last day of issuance in a month. The closeout marker (which is for food outlays only) will be displayed on the report.

Process Manufacturer Rebates

As part of Federal cost containment measures, State Agencies are expected to negotiate with infant formula manufacturers to obtain rebates in return for the State's use of that product in the WIC Program. Certain manufacturers have agreed to rebate a specific dollar amount per can of infant formula purchased through the WIC Program. Although the only participants in the rebate program at this point are infant formula manufacturers, State Agencies may choose to handle rebates for other food products as well.

Rebates are important because they can significantly reduce the food package cost which allows for an increase in the number of participants that can be served by a State WIC Agency. The rebate amounts expected for the coming year are factored into the caseload model.

There has been some difficulty in assessing the total number of cans purchased because WIC Participants do not always purchase the entire quantity of cans indicated on the food instrument. There are a number of ways to determine the rebate to address this issue. The WIC System provides a basic minimum capability to track the number of cans prescribed on food instruments and adjusts the count of cans based on the actual redeemed value of the infant formula food instruments.

The State of Arizona will invoice manufacturers for the issued amount of the rebate item. There will be no reduction for redemption where it appears the Participant did not receive all of the rebate items specified on the food instrument. An exception report will provide WIC Managers with the pertinent information to identify transactions where a question exists as to whether or not the Participant received all of the rebate product authorized. This exception report is only applicable to rebate items (such as infant formula) where the product is specified on a stand alone Food Instrument.

The validity of any exception report is tied directly to the number of food items on a food instrument type. The more items, the less valid the report. Therefore, Arizona WIC should endeavor to keep rebate items by themselves on food instruments.

Estimate Total Annual Rebates

The system, through the use of its cash flow analysis module, calculates estimated rebates for all months within the Federal fiscal year. The cash flow analysis uses the estimated rebate volume as an integral component in its function of balancing participation, food outlays and rebates. All of the estimated values from the cash flow analysis will be carried forward into the FNS-498 report.

Assess Rebates

The system provides specific supporting information regarding infant formula rebates by doing the following:

- Creating an invoicing letter for each manufacturer
- Generating a detailed rebate report which supports the invoice letter
- Producing an audit report which flags redeemed food instruments whereby the Participant may have not purchased all of the rebate item quantity

The WIC System invoices for the full issuance quantity and utilizes the audit report to highlight possible problem redemptions.

The WIC System invoices for all rebate-able items whether they were issued on a standard or custom food package.

The monthly process for rebate invoicing becomes:

- Insure that all redemption information has been processed
- Generate the detail of rebate amounts
- Review the detail report for completeness and accuracy
- Generate the invoice

The invoice is broken out by manufacturer, issue date and redemption date.

To ensure that State Agencies provide bills to infant formula manufacturers for those cans of formula that are actually purchased, State Agencies can adjust the total infant formula can count on the basis of the redeemed value of the infant formula food instruments. It is important to calculate rebates by the month of issue of the food instrument rather than the month of redemption since many contract effective and termination dates are tied to the issue date. Price increase clauses are also based on the issue date, so that it is possible to have two rebate levels in effect for a given redemption month.

It is necessary to isolate infant formula from all other types of food on food instruments so that the redemption value is not distorted by the purchase of other food items. Furthermore, it is necessary to separate the food instruments according to the type of infant formula (liquid concentrate, powder, etc.) so that the correct rebate rate can be used.

This function will generate a report that provides supporting detail on the rebate calculations to be reviewed by the State Agency and sent to the manufacturer with the invoice. The invoice number will be entered into the system to permit tracking of the collection of the rebate against the original invoice.

Monitor Rebate Collections

This capability enables State Agencies to track the invoicing and collection of manufacturer rebates within the WIC System. The actual invoice dates and amounts can be recorded when they are generated by the system. The system also accommodates increases or decreases to the original rebate invoice amount which might change due to subsequent adjustments. Rebate collection data is captured in this function and can also be used to update automated ledgers used in monitoring cash receipts and disbursements as described in the previous function.

Report on Manufacturing Billing and Rebates

The AIM System records, tracks and produces reports for billing manufacturers in accordance with the State's infant formula rebate contact. Arizona WIC will be able to establish a rebate contract for any item in its approved food list. If multiple vendors are providing rebates for the same item, Arizona WIC will be capable of assigning market shares to each vendor to assure proper invoicing. The system handles contracts with inflating/deflating rebate amounts over the contract life.

The Arizona WIC rebate subsystem logically follows the rebate process:

- Establish rebate manufacturers and vendors
- Define rebate contract terms
- Define rebateable items

On a monthly basis, the following activities will be supported:

- Issuance of food instruments with rebate items on them
- Capture of redemption activity for same food instruments
- Generation of rebate invoices and rebate reports
- Collection of tracking of rebate moneys

Link Rebates to FI Issuance Month

The system attributes manufacturer rebates to the appropriate month(s) of the issued food instrument. As invoices are paid, the collection of rebate money is captured and utilized in the cashflow functionality. Any discrepancies between the invoiced and received amount are recorded as adjustments and are reflected in the Spreadsheet (Cash Flow) and FNS-498 reporting functions.
Actual rebate dollars collected are captured in a functionality which tracks all funding sources.

Open Market Rebate Assessment

For those State Agencies that have an open market contract with the manufacturers, the WIC System will calculate the amount due to the State based on the total number of each type of infant formula purchased (as indicated by the total number of cans prescribed on redeemed food instruments). This is done by multiplying the number of cans prescribed by the participating manufacturer's annual share of the infant formula market, multiplied by the rebate amount per can.

Capture and Maintain Manufacturer Information

The AIM System supports the capture and maintenance about manufacturers providing rebates.

Allocate Caseload

Once the cash flow analysis has balanced participation in regards to all of the fund sources available to the WIC Program, the AIM System provides allocation of estimated participation to the Local Agencies. This allows users to allocate the estimated participation to each Local Agency for each month in the Federal fiscal year.

The user enters percentages which allows the AIM System to allocate those percentages of the state-wide estimated participation to the Local Agencies. The AIM System assists the user by displaying counters used in determining whether they have over allocated or under allocated the estimated participation. The ability to model, without effecting actual data, new local agencies as they come on-line and the closing of old Local Agencies is provided. The system will then produce a report of the allocations and a form letter is sent to all agencies. This letter explains the allocations and informs the local agencies of their participation targets for the upcoming fiscal year.

Establish Financial Factors

This function establishes the appropriate financial factors that will be utilized in Caseload portion of this module. These factors are used as input into the Cashflow Analysis model and assist management in determining the maximum state caseload fully utilizing the available food grant money. There are two sets of financial factors. The first set (called annual factors 1) includes:

- Food Package Inflation Factor
- Conversion Threshold
- Conversion Rate
- Maximum % of Federal Food Grant Carry Forward
- Maximum % of State Food Grant Carry Forward
- Percent of Fund Use by Obligation Month
- Percent of Fund Use One Month After
- Percent of Fund Use Two Months After
- % Rebates from Obligation Month
- % Rebates From One Month After Obligation
- % Rebates From Two Months After Obligation
- Three Month Rebates
- Rebate Per Infant

The second set of factors consists of state defined starting food package costs and redemption rates for each category of Participant. Included for each category is a flag that states that any participation counts for this category will be multiplied by the rebate per infant factor. These factors are:

- Starting Food Package Cost
- Redemption Rate
- Infant Factor

Establish WIC Funds (GAD)

The AIM System enables financial management to determine all sources of food grant money and when these dollars will become available to the program. This information is necessary in determining maximum state caseload.

Determine Maximum Caseload

This function includes the determination of appropriate maximum state caseload.

The AIM System performs this function based upon a financial model used in determining maximum state caseload. The basis of this model is to **insure that the food grant is utilized to the fullest.**

In order to utilize this model, several steps must be followed:

- Capture static and annual financial factors
- Determine all sources of food grant money and when those dollars will become available to the program. This can include reallocations if they are made available.
- Estimate issuance participation for each month during the fiscal year for each category (this is a reiterative process which occurs until the user is satisfied with the analysis).

Most of this activity is done within a spreadsheet function where the estimated caseload is entered and calculations utilizing the financial factors create the values which illustrate how the food grant will be consumed. It should be noted that once an issuance month has actually begun, none of the estimated values can be modified.

Also, all estimated values are utilized in the FNS-498 reporting as the estimated values which are shown in the first section of the 498 report.

The AIM System bases caseload assignment on issuance rather than redemption. Issuance caseload will be determined by category and month. A redemption rate factor will be applied to each category to reduce it to redemption caseload. Redemption caseload will then be utilized in the spreadsheet function as it does now.

The WIC System calculates the maximum number of issued participants by the State Agency on a monthly basis. The Total Available Funds amount is equal to the Federal food grant plus any state food grant remaining for the current Federal fiscal year, plus the portion of any expected state food grant for the next state fiscal year that applies to the months in the current Federal fiscal year.

The starting food package cost for each category is entered. This food package cost is updated by the inflation factor. The inflated food package cost is then reduced by the redemption factor.

This adjusted food package value is multiplied by the issuance participation of the category being calculated. After calculating each category/month cost, an aggregate value for the fiscal month is calculated. This process is repeated for each month in the fiscal year and the resulting values are then summarized for the year.

As estimated issuance participation is developed, rebate dollars must be added to the available funds. Rebate dollars are based upon participation and a financial factor which estimated the amount of rebate money per participant per month. This estimated rebate goes back into the pool of available food funds that must be consumed by the estimated caseload.

As WIC participants do not always redeem all the food instruments that have been issued, the Annual Food Package Estimate will be adjusted by a factor that accounts for the current food instrument redemption rate in order to fully utilize program funds. The adjusted amount becomes the Annual State Caseload for the fiscal year. As one food package is issued to a participant per month, the Annual State Caseload must be divided by 12 to determine the number of participants that can be served by the State each month. State Agencies may wish to further adjust the caseload numbers for each individual month to account for current participation levels and targeted growth rates over the coming fiscal year. The system will then store the Monthly State Caseload for each category for each month in the Federal fiscal year.

It will also be noted that although the difference between Federal and any State funding is transparent to the WIC participant, it is important to keep a distinction between Federal and State caseload for reporting purposes. The method of determining the Federal Caseload is by multiplying the Total Caseload by the Federal Food Fund Ratio, the ratio of the Federal food grant to the total food grant (Federal and State). Currently, the State of Arizona is not providing State funding to the WIC Program, however, the system is capable of accommodating State funding (along with Federal funding) should the state make a change in its policy.

Finally, it is important for the State Agency to be able to compare its estimate with funding formula participation projection supplied by FNS. If the State Agency's estimates are higher than FNS's, the State Agency has to balance any decisions to fund this expansion with the conversion of food grants to administrative funds to support increased participation. The system will support the analysis required to make these choices.

Prepare Local Agency Caseload Allocation Estimates

State WIC Agencies must assign caseload levels and monitor against participation. State Agencies receive Federal grants, and must determine how many WIC participants they can serve with those funds. In addition, they determine how best to distribute the caseload among local agencies to reach those participants with the greatest need (i.e., at the greatest nutritional risk).

Grants are awarded to State Agencies initially and then later adjusted at least once or twice each year by FNS. Therefore, the State Agencies need to be able to reallocate caseloads for Local Agencies when necessary. Other allocations may be required during the course of the year due to changes caused by differences in State and Federal fiscal years. Infant formula rebates, radical changes in food prices, authorized conversion of food funds to administrative funds, or shifts in the number of applicants in the various priority categories may also affect allocations. The calculations and subsequent adjustments involved are extremely important as the State Agencies are required to spend as close to 100 percent of the State and Federal food grants as possible.

After the maximum caseload available to the State Agency has been determined, based on the initial Federal grant allocation, it must be divided among the local agencies so that they know how many participants they can support each month. Caseload allocation is determined by State Agencies on the basis of current participation levels, anticipated increases or decreases in WIC Program funding, food package costs, redemption rates, caseload growth rates at each Local Agency, and waiting lists maintained by the Local Agencies.

The AIM System allocates the maximum caseload down to the Local Agency level. The allocation is completed once the user enters a percentage that is applied against the maximum state caseload for each month in the fiscal year. The resultant caseload is then placed into the appropriate month's estimated caseload for the Agency. Once this is done, users can adjust individual month estimated caseload up or down as needed. Another feature of this function is its ability to simulate what would happen if new Local Agencies were added or deleted. Buttons on the window allow users to create agencies and simulate what the effect would be on caseload allocation.

Finally, a pop-up window will warn users that they have created an out of balance situation and how far the current month is out of balance. Also, the particular month(s) that are out of balance will be highlighted in a different color.

Once the allocations have been completed, a caseload allocation letter and report are produced to send to Local Agencies so that they can confirm the accuracy of the number and understand what WIC management is expecting of them for a caseload. The allocations are saved and can be modified up to the point at which the allocation is for the current issuance month or previous months.

As actual caseload numbers become available, they are recorded against their corresponding estimated caseload allocation providing visibility on caseload achievement month by month at the Local Agencies. This will be viewable from the same window.

Reallocation can occur at any time during the year, so the system will permit update of the allocations upon request. The system will also have the flexibility to make adjustments that are required because of differences between the State and Federal fiscal years. The total sum of all Local Agency caseload allocations will not exceed the maximum caseload allocation for the State.

Record Caseload Allocation

Once approved by the State Agency, the WIC System will store the caseload allocation data as manually entered by users at the State Agencies. This information will be used for notifying the Local Agencies of their individual allocations and tracking assigned caseload against actual participation.

The division of the allocation process into two steps, analysis and approval, provides State Agencies with the flexibility to determine whether it is appropriate to actually modify caseload assignments on the basis of changes suggested by the system model. State Agencies will be able to make this decision before such changes are officially stored in the system or announced to Local Agencies.

Prepare Clinic Caseload Allocation Estimates

The system divides the Local Agency caseload among the clinics and participants that they serve. The allocation is done by having the user enter a percentage which is applied against the maximum Local Agency caseload for each month in the fiscal year. The resultant caseload is then placed into the appropriate month's estimated caseload for the clinic. Once this is done, users can adjust individual month estimated caseload up or down as needed. Another feature of this function is its ability to simulate what would happen if new clinics were added or deleted. Buttons on the window allow users to create clinics and simulate what the effect would be on caseload allocation.

Finally, a pop-up window will warn users that they have created an out of balance situation and how are the current month is out of balance. Also, the particular month(s) that are out of balance will be highlighted in a different color.

As actual caseload numbers become available, they are recorded against their corresponding estimated caseload allocation providing visibility on caseload achievement month by month at the Local Agency and clinic level. This will be viewable from the same window.

Reallocation can occur at any time during the year, so the system will permit update of the allocations upon request. The total sum of all clinic caseload allocations will not exceed the maximum caseload allocation for the Local Agency.

After the maximum caseload available to the Local Agency has been determined, based on the distribution from the State Maximum Caseload Allocation, it must be divided among the clinics so that they know how many participants they can support each month. Caseload allocation is determined by State Agencies on the basis of current participation levels, anticipated increases or decreases in WIC Program funding, food package costs, redemption rates, caseload growth rates at each Local Agency, and waiting lists maintained by the Local Agencies.

Record Caseload Allocation-Clinic

Once approved by the Local Agency, the WIC System will store the caseload allocation data as manually entered by users at the Local Agencies. This information will be used for notifying the clinics of their individual allocations and tracking assigned caseload against actual participation.

The division of the allocation process into two steps, analysis and approval, provides Local Agencies with the flexibility to determine whether it is appropriate to actually modify caseload assignments on the basis of changes suggested by the system model. Local Agencies will be able to make this decision before such changes are officially stored in the system or announced to clinics.

Monitor Caseload

The system provides capabilities which assist the State in monitoring the actual caseload compared with the estimated and allocated caseload.

Track Issuance Participation

Once the caseload has been allocated, it is important to track issuance participation levels against the assigned levels to allow adjustments by State and Local Agencies in response to various changes or trends observed over the course of the year. If a Local Agency has reached its maximum caseload level, the system automatically warns the Agency against accepting additional enrollees in the WIC Program when new applications are processed at the Local Agency.

The State Agency must have sufficient information to determine, at any point in time, how close each Local Agency is to meeting its caseload maximum. The State Agency must also have access to information on the Local Agencies with the greatest unmet need (percentage of potential eligible not reached) and the greatest growth rates (monthly rate of increase in participation) so that caseload can be shifted between Local Agencies as available and appropriate. The system provides this information through a series of caseload reports. The system provides for shifting of caseload within the state through the transfer of participants (covered in the Participant Processing Section).

The system automatically prepares the FNS reports specifically related to caseload; the WIC Annual Participation Report (FNS-654), as well as the WIC Monthly Financial and Participation Summary. Both reports utilize participation information maintained in the system.

Participation information is automatically made available to state analysts through the end-of-day process on a nightly basis (Please refer to the System Administration functional area for more details). Thus, there will be no need for manual counts or any of the reporting delays that are currently experienced.

The WIC System will support this function by retrieving assigned caseload data from the caseload data store and comparing it to actual participation data compiled from the Participant and Food Instrument data stores on a month-by-month basis. The State Agency will be notified by the system if Local Agencies exceed their assigned caseload. Further, the system calculates the caseload achievement rate: the percentage of the assigned caseload that the Local Agency is actually serving in the WIC Program.

The recommended method for determining participation in an automated system, according to FNS Handbook 154, is to use a unique identification number for each WIC participation. Food instruments issued will be cross-referenced to this identification number. The actual participation count is obtained by summarizing the unduplicated participant identification numbers for which at least one food instrument remains valid at the close of the month. A valid food instrument is one that has been issued to a participant, and has not been voided or returned unclaimed to the State Agency. It will be noted that some food instruments are issued for compliance investigators and will not be included in the participation count. The AIM System conforms to each of these recommendations.

In addition, when tallying WIC participation, State Agencies must develop a means of accounting for the number of enrolled fully breast-fed infants which will be reflected in the infant participation count. Fully breast-fed infants are considered verified participants who have received food benefits at no food cost to the program, and it is ultimately in the State's interest to include these participants in the total count. (The number of breast-fed infants is also of interest to the infant formula manufacturers for use in assessing the accuracy of infant formula rebate invoices.) The AIM System meets this requirement as well.

Track Formula Usage

The AIM System tracks the issuance and redemption of formula under a manufacturer rebate contract. These moneys are considered part of the food grant and have an important impact on predicting caseload and providing funding to support caseload.

Track Formula Usage

The WIC AIM System tracks the issuance and usage of formula that is prescribed to participants in order to determine the amount of manufacturer's rebate that the State is eligible to receive. This allows the State to return moneys to the food fund and to increase their potential caseload. This functionality, although primarily a part of Food Instrument Reconciliation and Processing, does impact the State's ability to determine and manage their caseload, and is therefore addressed in this section.

Tracking formula usage and its impact on caseload is done via the cash flow analysis spreadsheet.

Manage the Wait List

The AIM System provides several features which will assist Arizona WIC in managing the wait list.

Determine Categories/Priorities to Serve

The AIM System provides the capability of analyzing the effect of setting "freezes" by priority or category. Freezes are defined as caseload management decisions which limit the certification of enrollees generally due to a lack of available food grant moneys. The transfer system functionality allows users to gather redemption and participation information on categories and/or priorities of Participants. The analysis can be of a reiterative nature and repeated as many times as the user wishes. This information can then be applied against a copy of the current years estimated caseload using the same spreadsheet function described earlier. Once the analysis is complete, the user can invoke the freeze from the same window that the original redemption analysis was done from. This affects the certification process in that when a freeze is in effect and the Participant being certified falls into the freeze criteria, a message will be displayed on the certification window and a notice of ineligibility will be automatically produced.

It needs to be noted that the once the "copied" spreadsheet has been revised to reflect the freeze, the estimated participation and revised food package information needs to be manually applied to the real spreadsheet.

Local Agencies will be able to use the analysis function, however, they will not be able to initiate a freeze.

Maintain Wait List Parameters

The AIM System provides the capability to determine how long Participants will be kept on the wait list, the number of times they need to be contacted while they are on the wait list, and the number of days that the Participants have to respond once they have been contacted.

These parameters are maintained by the State and passed to the Local Agencies via the end-of-day process.

Additionally, Clinics/Local Agencies have visibility on wait listed Participants and the number of times and methods of contact.

The State will develop policies to determine how to reallocate caseload to appropriate Local Agencies. Thus Local Agencies who are at their caseload limit will continue to enroll and refer to other clinics. Meanwhile, caseload reallocation will be done and then the Participants can be taken off the wait list.

Once a POS reaches it caseload assignment, it cannot be forced to serve above that assignment (without contracts being renegotiated).

Maintain Wait List

Local Agency Staff needs the capability to activate wait listed Participant as well as recording the dates and methods in which wait listed Participants were contacted. This information is available on line and also through wait list reports.

Provide Ad Hoc Query Capabilities

The AIM System provides reporting capabilities other than the fixed reports that are pre-programmed into the system. WIC has the ability to investigate particular data through individually constructed reports, a method called *Ad hoc* Querying.

Provide Ad hoc Query Capabilities

The system provides the capability to access any central data stores using the SQL language. There are also several packages that can be installed on the system which assist users in building *ad hoc* queries. One of these is Discoverer, which provides a GUI view of the data stores and users point and click on the data they are interested in.

Provide Data Interoperability

Many different types of information are considered in managing WIC caseload and expenditures. The type of information needed may also change over time. Therefore, a need exists for WIC to be able to define and redefine the type and parameters of data it wishes to use at any given time. The selected data elements must be downloaded from the central data store in ASCII format to an external database for use on a State office PC or State LAN.

The architecture of the transfer system, which is based upon Windows, is very conducive to moving data between the application and other Windows-based products. For example, data queries can be built and executed and the resultant data can be directly transported into Excel spreadsheets or Word documents. This can be done without writing the data to another file. Of course, users still can write the same data to a file on a PC or LAN, but the Windows environment creates an opportunity for the more direct exchange of data.

Also, the WIC System enables users to run most reports utilizing data parameters. This capability provides users flexibility in the execution of any of their participation/caseload reports even during the current issuance month. This function assists management by giving visibility on where participation counts are heading while they can still react to the situation.

Produce FNS Report

This function retrieves data from the various caseload and Local Agency data stores to provide required FNS reports including participation by category, by priority by month (498), and average annual participation by category, addresses, and priority (654).

The transfer system produces all of the required FNS reports as part of the application. These reports are user definable as to reporting period based upon input parameters, and are produced for submission to FNS. Both reports will be prepared automatically, upon request by the system, with sufficient lead time so that they may be received by FNS on their respective due dates. All information utilized in producing the reports is stored in the WIC application database.

The participation data reflected on the FNS-654 report will reflect the same level of participation reported on the closed out Federal participation column of FNS-498, WIC Financial and Program Status Report, for the applicable report month.

WIC Monthly Financial and Participation Summary

The system produces the WIC Financial and Participant Summary Report (FNS-498 [4-92]). This is a federally required report, and is output in such a manner so that it can be directly submitted to the FNS.

WIC Annual Participation

The system produces the WIC Annual Participant Summary Report (FNS-654 [4-92]). This is a federally required report, and is output in such a manner so that it can be directly submitted to the FNS.

Reports

The AIM System generates several reports from the Financial Management module. All reports are listed with a brief description for reference purposes. However, it is anticipated Local Agency staff will utilize a limited number of these reports. Detail instruction for these reports are provided in this chapter. For instruction on all Financial Management reports please refer to the State User manual.

FNS Reports

As stated above the AIM system will create the following FNS reports:

FNS-227 – The WIC Program Annual Close-out

FNS-498 – The WIC Program Monthly Financial and Program Status

FNS-654 – The WIC Program Annual Participation

It is anticipated these reports will be generated by State staff. For detail instruction please refer to the State Agency User's manual.

Produce Quality Assurance Reports

The System supports the Arizona WIC Program by producing several Quality Assurance Reports that provide measurements on how well financial policies and procedures are being implemented within the State. It is anticipated Local Agency will only utilize the Formula Exception Usage Report. A description of the other reports has been provided for reference purposes.

Track FI Redemption Rate by Unit

This report produces a summary of Food Instrument redemption rates for user defined units in order to compare usage rates of Food Instruments among different groups of participants.

Track Formula Redemption Rate by Issue Month

The Formula Redemption Rate by Issue Month report produces a summary of Formula redemption rates by issue month in order to compare usage rates and rebate.

Track Formula Type Issuance

The Formula Type Issuance report provides information on a State-wide basis regarding the issuance of different formula types (regular infant formulas and/or “special” infant formulas). The report shall be used to monitor adherence to State policy regarding formula issuance, to detail expenditures for formula by type, and/or to alert management of participants receiving certain formula types in the event of a formula recall.

The system also tracks rebates. This functionality is addressed elsewhere in this document.

Track Formula Exception Usage

The Formula Exception Usage report provides information on either a Statewide, Local Agency or Clinic basis regarding totals of issuance for different formula types (regular infant formula and/or “special” infant formulas) by month of issue.

Sample FI Audit

The sample FI audit report supplies a list of information for each food instrument that is issued in order to provide an audit trail for the FI.

Track Partial Formula Redemptions

This report identifies FIs that were redeemed for a quantity of formula that is possibly less than the issuance quantity. This report is used for auditing of rebate assessments.

Track Missing Issuance

This report provides information regarding food instruments that have been processed through the banking interface but have no corresponding issuance information. It highlights possible communication problems between the Central Agency and Local Agencies.

Produce Financial Reports

The AIM System produces several financial reports to assist the State in determining current and future financial obligations, food fund status, etc. Local Agency Directors may utilize Income Eligibility, Food Instrument Usage and Monthly Expenditures and Obligations. The remaining reports' description is provided for reference.

Track Income Eligibility

This report provides information on the number of enrollees with income eligibility reported at selected levels of the current income poverty guidelines for WIC and CSF.

Track FIs Issued

This report provides a listing of FIs issued including: FI Serial Number, Participant ID, Name, Issue Date, Vendor, Item, Description, Quantity of item, units per measure and container.

Track FIs Paid

This report provides a listing of FIs paid including: vendor ID, store name, FI number, date requested, requested amount, FI type, participant id, issue date, redeemed date, payment date, and payment amount.

Track Food Obligations and Outlays

This function tracks and summarizes the food obligations and outlays for a user defined issuance period.

Track Food Funds

This module creates a report that details the current cash position of the WIC Program, summarizing current year information, utilizing the processes described in the cash flow spreadsheet.

Track Monthly Expenditures and Obligations

This report identifies the status of outstanding obligations and outlays for a Federal fiscal year and month.

Cash Flow Analysis

The AIM System provides a function to assist management in analyzing the cash position of the program. This will be accomplished utilizing a spreadsheet like functionality that summarizes program incomes and outlays.

Track Food Instrument Usage

The AIM System provides reports that summarize food instrument usage by Participants.

Purge Reject Report

The Purge Reject Report lists all FIs in a rejected status that will be purged at the end of the month. This report is helpful in recovering administrative funds resulting from prepayment edits on redeemed FIs.

The purge criteria is:

Automated FIs -
1. When issue and process date is three months old
2. If no process date, when issue date is three months old the FI is stale dated

Voids -
1. Void date is updated as the process date; purges when process date is three months old

Reject reasons include:

Missing Vendor Number (No Stamp)
Unreadable Vendor Number
Unauthorized Vendor
Invalid date - stale (cashed more than 65 days past issue date)
Invalid date - before issue (cashed before issue date)
Missing Signature
Missing Countersignature
Mismatched Signatures
Altered
Unreasonable Dollar Amount
Void Do Not Redeposit

Produce Caseload Management Reports

The AIM System provides numerous Information Management Reports in order to assist in managing the State Agency, Local Agency, and Clinic WIC Caseloads.

By having timely and accurate information, the WIC Program is able to better estimate, plan and track the programs objectives, as well as being able to make changes in the way services are allocated in order to improve program efficiency and effectiveness in a more timely manner. The Caseload Management Section provides reports which assist in tracking caseload assignments, participation, participant status, participation versus assignment, participation priorities, staff to participation ratios and WIC income eligibility.

It is anticipated the Local Agency staff will utilize the following reports: Caseload Assignment, Actual Participation, Monthly Participation by Category and Ethnicity Group, Participant to Staff Ratio, Wait List and Wait List by Category and Priority. Detail instructions for these reports are included in the chapter. A brief description of other Caseload Management reports are provided as a reference.

Caseload Assignments

The Caseload Assignment Report breaks down the assigned caseload by Local Agency for the entire state. It also shows the caseload allocation broken down by month, with totals for the entire state; yearly and monthly.

Actual Participation

This report summarizes issuance participation by Clinic and Local Agencies. Counts are provided by category and priority with totals for both. These versions of the report are available:

Clinic level detail summarized to the Local Agency level

Local Agency detail summarized to the State Agency level

Actual Participation

This report summarizes all actual issuance participation by priority and/or category. Total for migrants are also displayed on the actual participation reports. Report availability is dependent upon the organizational level generating the report:

State Agency – Local Agency detail with State Summary.

Local Agency – Clinic detail with Local Agency summary.

CSF Distribution – Clinic details with Local Agency summary

State Funded WIC Participation Listing

The issuance date entered on the parameter screen will appear in the FOR MONTH ENDING heading in the upper left-hand corner of the report. The report will process FIs issued three months prior to the requested month. The report will not be generated for three months of the year - October, November and December; that is, closeout for July, August and September, respectively.

A count of the number of participants determined to be participating broken down by priority and status. A list of the participants included in the count totals serves as the detail portion of the report. The WIC status is used to place participants in one of five categories for final totals. The categories are: Pregnant Women, Breastfeeding Women, Postpartum Women, Infants and Children. The total value of each counted participant's FIs are also listed in the detail portion of the report. The combined total of all counted participants’ FI values must not exceed a State Funding Amount stored in a monthly table built from the State WIC Funds screens. To determine which participants should appear on this report, the system will start with the lowest priority participants, aggregating the total value of each participant's FIs until the funding amount is reached but not exceeded. Any participants whose FI values added into the total would result in the total exceeding the State Funded amount are not listed on the report.

CSF Participation Listing

This report is a count of the number of participants determined to be participating broken down by category. A list of the participants included in the count - totals serves as the detail portion of the report. The CSF status is used to place participants in one of five categories for final totals. The categories are: Pregnant Women, Breastfeeding Women, Postpartum Women, Children and Elderly.

Westside FB is the subtotal of the local agencies above it, Community FB is a subtotal of Pima and Mariposa and State Total is a total of Westside and Community subtotals.

Participant Status

The AIM System provides the Participant Status report to track specific characteristics of the WIC and CSF participant population. This report can be used to measure changes and trends in the WIC/CSF participant population for use in predicting caseload changes. The State and Local Agencies can then reflect these changes in their WIC/CSF goals and in their outreach efforts.

Participation vs. Assignment

The Participation vs. Assignment Report shows a yearly history of the caseload assigned to each Local Agency (and is also broken down by their clinics), their participation count (actual), their percentage of allocated caseload attainment, and their percentage of increase (from the same month in the previous year).

Monthly Participation by Category and Ethnicity Group

This report allows the State, Local Agencies, and Clinics to show number and types of participants served who fall into Priority 1, 2, or 3. This allows the WIC Program to determine its effectiveness in reaching high risk individuals.

Participant to Staff Ratio

The Staff to Participant Ratio Report allows the WIC Program to monitor its ability to effectively handle participant caseload based upon staffing Packages. The estimated hours per week captured in the Operations Management area of WIC System are utilized in building staff to participant ratios.

Wait List

The Wait List reporting function under Caseload Management provides WIC management with visibility as to the number of wait listed applicants by category and priority within Local Agencies. Additionally, the function provides reporting features which define how long individual applicants have been wait listed and the methods used in contacting them when caseload limits are no longer in effect.

Wait List by Category/Priority

The Wait List by Category report lists the number of applicants who have applied for admission to the program but were wait listed due to financial constraints. The report is by category and priority. Totals are by clinic, local agency and state.

Produce Rebate Reports

The AIM System produces several rebate reports to assist the State in determining rebate information. It is anticipated Local Agency Directors will not utilize these reports. Their descriptions are provided for reference.

Create Rebate Invoice

The Create Rebate Invoice report produces a summary report on the manufacturer invoices on rebate-able products per can by issue month.

Rebate Invoice Report

The Rebate Invoice Report produces a detailed report on the manufacturer invoices on rebate-able products.

Infant Formula Caseload

The Infant Formula Caseload report produces a graph on the actual issuance caseload of formula fed infants by month.

Infant Formula Rebate replaces Redemption Activity

This report provides information on the redemption of food instruments for both infants and non-infants.

Financial Management Divisibility

This report produces a summary report for all food instruments that w ere not fully utilized.

Vendor Management Divisibility

This report produces a summary report for all food instruments that were not fully utilized.

Vendor Management Divisibility Summary

This report produces a summary report for all food instruments that were not fully utilized.

Description of Financial Management Functions

When clicking on the Financial Management button from the AIM System Master Menu, the following window is displayed:

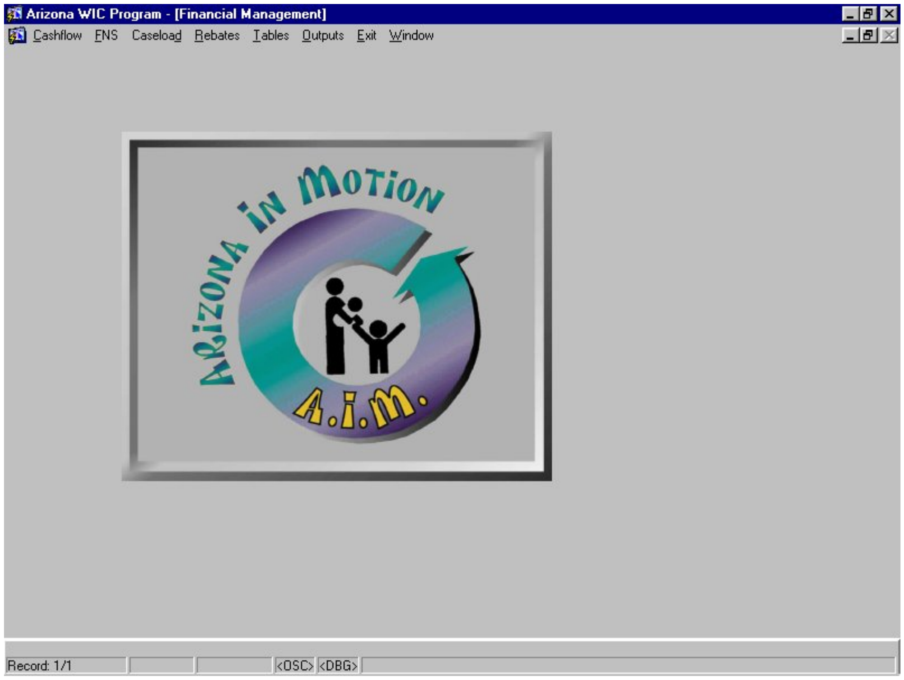
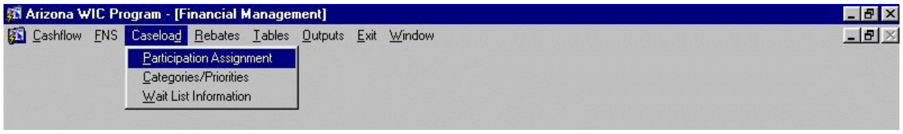


Figure 1 – Financial Management "Splash" Screen

Maintain Participation Assignments

To Maintain Participation Assignments:

1. Click on Caseload from the menu bar.
2. Click on Participation Assignment as shown below:



The Participation Assignment Window is displayed:

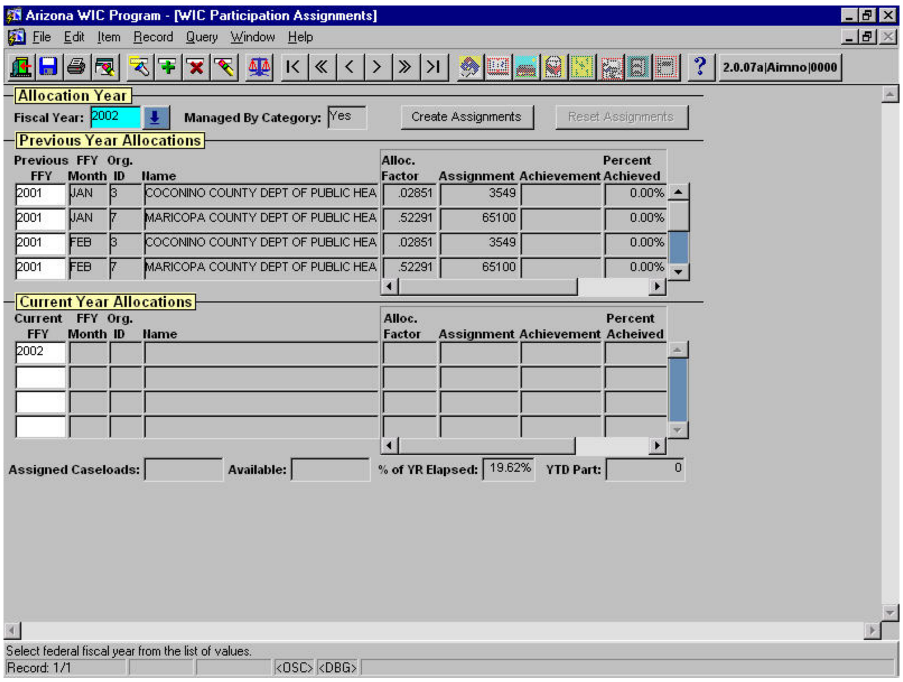


Figure 2 – WIC Participant Assignment

Allocate Caseload to Local Agencies Not Managed by Category

1. Select the fiscal year from the LOV
2. Click create assignments button, the system will display the Caseload Participation Assignment Analysis pop-up window below:

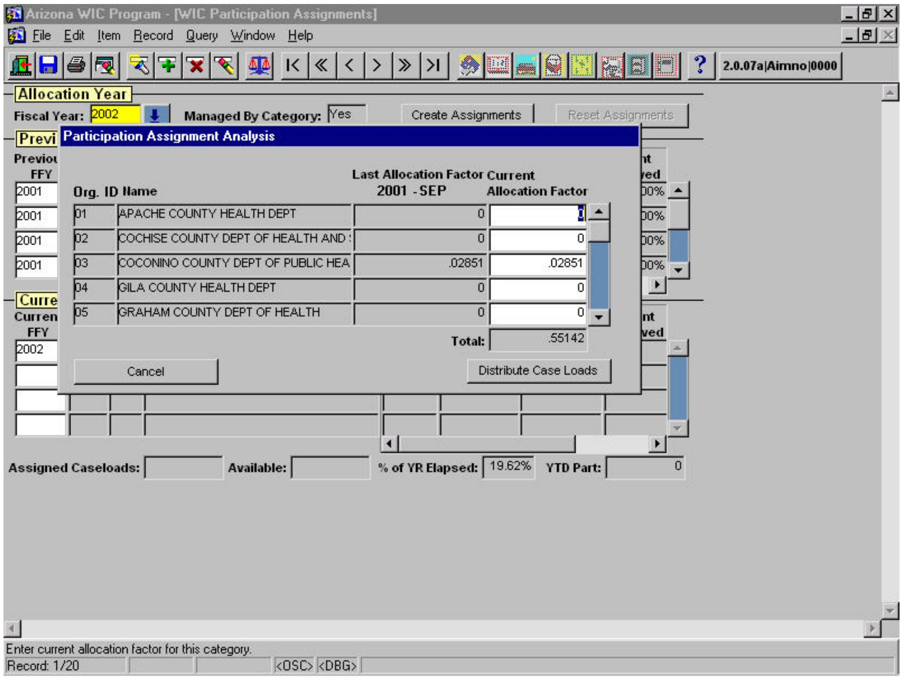


Figure 3 – Participant Assignment Analysis

3. Tab to the Allocation Factors field of the local agency to make an assignment.
4. The total of the Allocation Factors should be equal to 1 or less. If over 1 the system will display a message alerting the user that the factor exceeds 1.
5. Click the Distribute Caseloads button to allocate the caseload to the local agencies selected.
6. Click OK to return to the Caseload Participation Assignment Analysis window.
7. The total number of the Allocation Factors assigned will be displayed. If this number is over 1, a message notifying the user of this will occur.
8. Click OK to return to the Caseload Participation Assignment analysis window.
9. This window will display the current fiscal year, month, org ID, name and allocation factor and actual caseload assignment based on the information entered in the participation analysis window. The total statewide caseload for the specific month will be displayed. The total statewide caseload assigned to local agencies for that specific month is displayed. The available caseload that remains is displayed. This may also appear as a negative number if the allocation factors exceed one (1) in total.
10. Use the scroll bar to scroll to different months of the fiscal year or click the current fiscal year field and use the page down key to scroll down to different months.
11. The total statewide caseload and total caseload assigned may change from month to month depending on the food budget established for the fiscal year.
12. Click the Save icon to save this information.

Modify an Existing Local Agency Allocation

1. Select the fiscal year from the LOV.
2. Execute a query by pressing F8 or clicking on the execute query drop down menu.
3. Click Reset Assignments.
4. The last allocation factor will be displayed for each local agency from the query.
5. Tab to the local agency and allocation factor to be modified.

6. Use the delete key or backspace key to delete the current allocation factor for that local agency.
7. Enter the new or modified allocation factor for each local agency to be modified.
8. Click the distribute caseload button to redistribute the allocation for the selected local agencies. This modified distribution will only occur for the current month and any months that occur after during the specific fiscal year.
9. Click the Save icon to save this information.
10. Click OK to return to the Participation Assignment window.
11. This window will display the current fiscal year, month , or ID, name and allocation factor and actual caseload assignment based on the information entered in the Participation Analysis window. The total statewide caseload for the specific month will be displayed. The total statewide caseload assigned to local agencies for that specific month is displayed. The available caseload that remains is displayed. This may also appear as a negative number if the allocation factors exceed one (1) in total.
12. Use the scroll bar to scroll to different months of the fiscal year or click the current fiscal year field and use the page down key to scroll down to different months.
13. The total statewide caseload and total caseload assigned may change from month to month depending on the food budget established for the fiscal year.
14. Click the Save icon to save this information.

Modify an Existing Local Agency Allocation for a Particular Month

1. Select the fiscal year from the LOV.
2. Execute a query by pressing F8 or clicking on the execute query from the Query drop down menu.
3. Click the current FFY field and using the page down key scroll down to the specific local agency and month to be modified
4. The system will not allow any modifications to months that are in the past.
5. Once the specific local agency and month is located tab to the allocation factor field and enter the new factor.
6. The new caseload assignment will automatically be calculated.
7. The available caseload field will be updated based on this modified number.
8. Continue to modify the specific months and local agencies as desired.
9. Click the Save icon.

Print the Allocation Letter to Local Agencies

1. Select the desired fiscal year from the LOV.
2. Execute a query by pressing F8 or clicking on execute query from the Query from the drop down menu.
3. Click on Create Assignments push button to preview the letter.
4. Click print to print the letter.
5. Click mail to produce a mailing to this local agency.

Allocate caseloads to Local Agencies Managed by Category

1. Select the fiscal year from the LOV.
2. Execute a query by pressing F8 or clicking on the execute query from the Query drop down menu.
3. Place the cursor on the Current FFY of the local agency and month to be worked with.

4. Double click the Current FFY to bring up the Participation Assignment for categories pop-up window shown below:

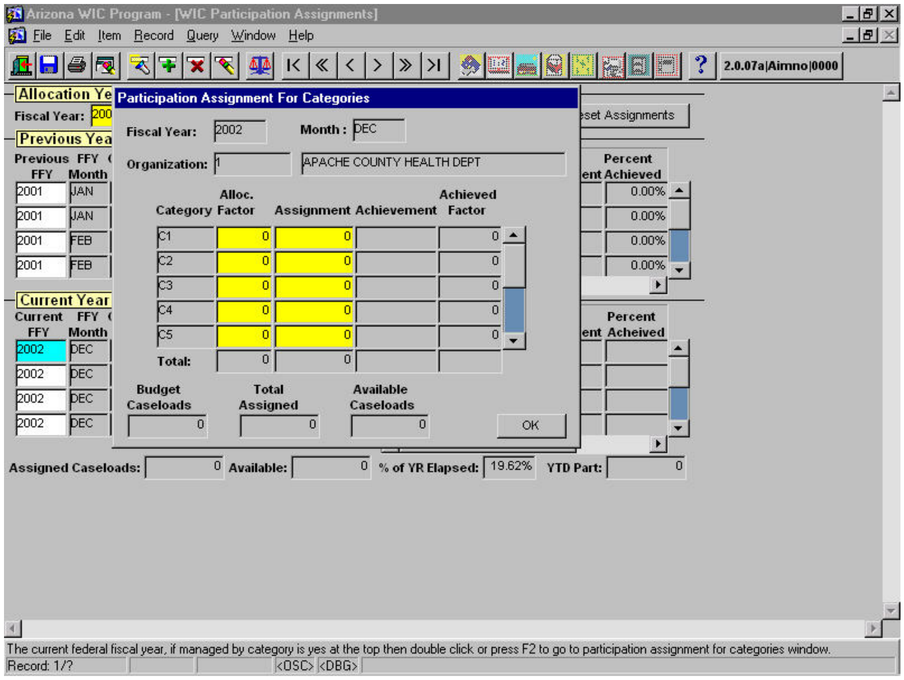


Figure 4 - Participation Assignment (Category Level Pop-Up)

5. This window will display the FFY, month, name of the organization, and the ID code for the organization selected.
6. Enter the allocation factor for each category to make an assignment for this specific local agency.
7. The assignment will automatically be calculated and be displayed.
8. The total amount of the allocation factor and the assignment will be displayed at the bottom of the screen.
9. The total statewide budget caseload and the total statewide assignment and available caseload is displayed.
10. Any modification in the allocation factor or the assignment will automatically be calculated and reflected.
11. Click OK to return to the Participation Assignment window.

Figure 2 – WIC Participant Assignment

Fields

Fiscal Year - Identifies the fiscal year associated with this record. This field is mandatory.
Managed by Category – Identifies whether the budget is broken down by categories. This field is display only.
Previous FFY - Identifies the previous federal fiscal year associated with this record. This field is display only.
FFY Month - Identifies the federal fiscal month associated with this record. This field is display only.

Org. ID - The unique identification for the organizational unit (local agency or clinic) to which the assignment is made. This field is display only.
Name - The name of the organizational unit. This field is display only.
Alloc. Factor - The factor of the parent organizations monthly allocation. This field is display only.
Assignment - The caseload assignment that is made to this local agency clinic. (*Note: Assignments can be changed only for months that have not passed.)* This field is display only.
Achievement - The achievement that was met for the local agency clinic during the identified month and year. This field is display only.
Percent Achieved - The percent of caseload of the organizational unit achieved. This field is display only.
Current FFY - Identifies the current federal fiscal year associated with this record. This field is display only.
FFY Month - Identified the federal fiscal year associated with this record. This field is display only.
Org. ID - The unique identification for the organizational unit (local agency or clinic) to which the assignment is made. This field is display only.
Name - The name of the organizational unit. This field is display only.
Alloc. Factor - The factor of the parent organizations monthly allocation. This field is mandatory.
Assignment - The caseload assignment that is made to this local agency clinic. (*Note: Assignments can be changed only for months that have not passed.)* This field is mandatory.
Achievement - The achievement that was met for the local agency clinic during the identified month and year. This field is display only.
Percent Achieved - The percent of caseload of the organizational unit achieved. This field is display only.
Assigned Caseloads - This is the assigned caseload for the month for the State or Local Agency. This field is display only.
Available - The total caseload available to the parent level organizational unit. This field is display only.
% of YR Elapsed – The percentage of the current fiscal year that has elapsed. This field is display only.
YTD PART - Sum of assignments for the month across all clinics displayed. This field is display only.
Cumulative Percent Achieved - The percentage of the parent organization's achievement during the identified year. This field is display only.

Push Button(s)

Create Assignment - Distribute caseloads among local agencies or clinics for the whole fiscal year.
Reset Assignment - Reset caseloads for the current and following months.

Figure 3 – Participant Assignment Analysis

Fields

Org. ID - The unique identification for the organizational unit (local agency or clinic) to which the assignment is made. This field is display only.
Name - The name of the organization unit. This field is display only.

Last Allocation Factor - Displays the last allocation year and month prior to the current financial year.
Current Allocation Factor - User able to update. This value is applied on the monthly budget to derive the caseload assignment for the organization.
Total - The total allocation factors.

Push Button(s)

Cancel - Cancels the screen and goes back to the main screen.
Distribute Case Loads - Applies the caseload allocation factor on the budgeted caseload while creating distribution of caseload records.

Figure 4 - Participation Assignment (Category Level Pop-Up)

Fields

Fiscal Year - The Federal fiscal year. This field is display only.
Month - Identifies the month for the federal fiscal year associated with this record. This field is display only.
Organization - The organizational unit identifier. This field is display only.
Category - The categories of Participants. This field is display only.
Alloc. Factor - The allocation percentage for each category. This field is mandatory.
Assignment - The caseload assignment that is made to this local agency clinic. (*Note: Assignments can be changed only for months that have not passed.)* This field is mandatory.
Achievement - The achievement that was met for the local agency clinic during the identified month and year. This field is display only.
Percent Achieved - The Percent of the category achieved. This field is display only.
Total - Shows the total allocated factor and caseload assignment. This field is display only.
Budget Caseloads - This is the budgeted caseload for the month for the state or local agency. This field is display only.
Total Assigned - Sum of assignments for the month across all local agencies or clinics displayed. This field is display only.
Available Caseloads - The number of caseloads available.

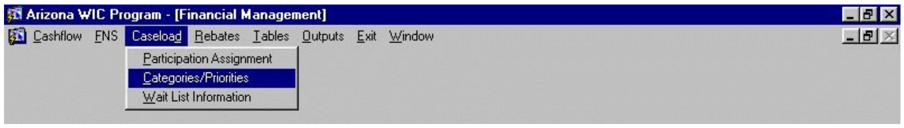
Push Button(s)

OK - Clicking this button closes the Participation Assignment window.

Maintain Categories & Priorities

To Maintain Categories & Priorities:

1. Click on Caseload from the menu bar.
2. Click on Categories/Priorities as shown below:



The Categories & Priorities Window is displayed:

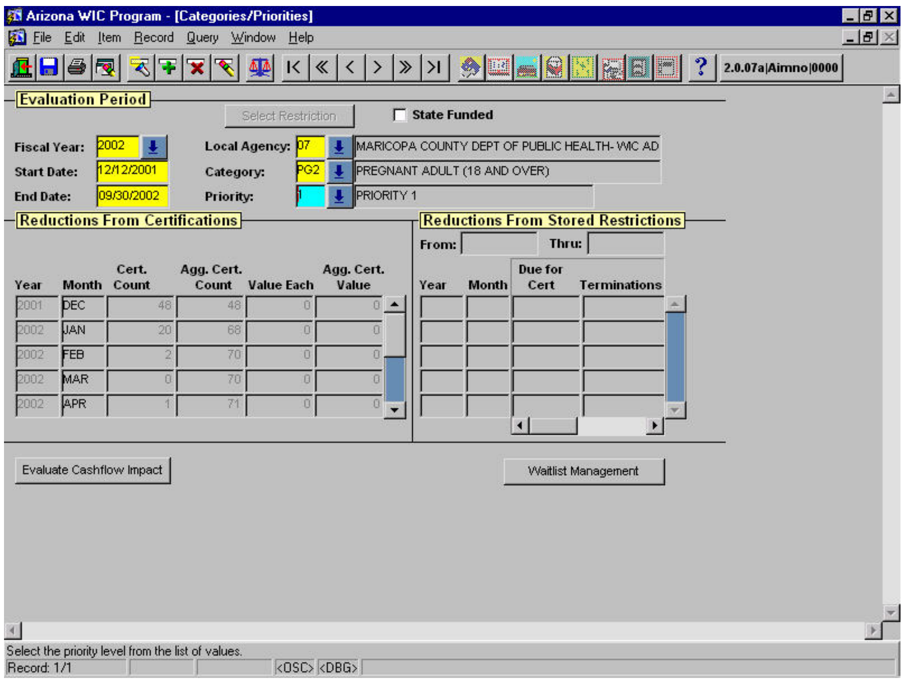


Figure 5 - Categories/Priorities (1 of 3)

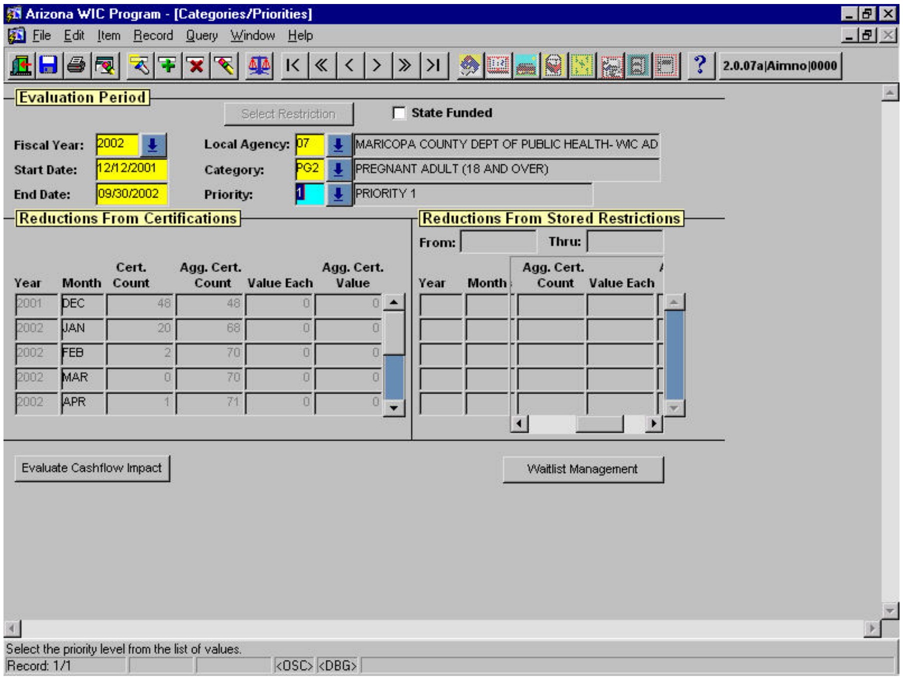


Figure 6 - Categories/Priorities (2 of 3)

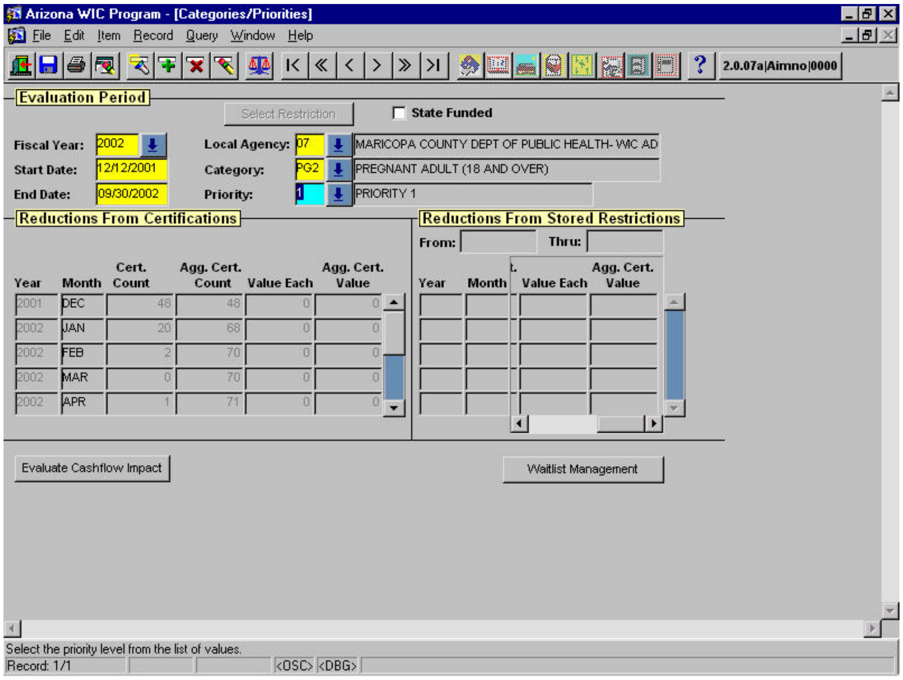


Figure 7 - Categories/Priorities (3 of 3)

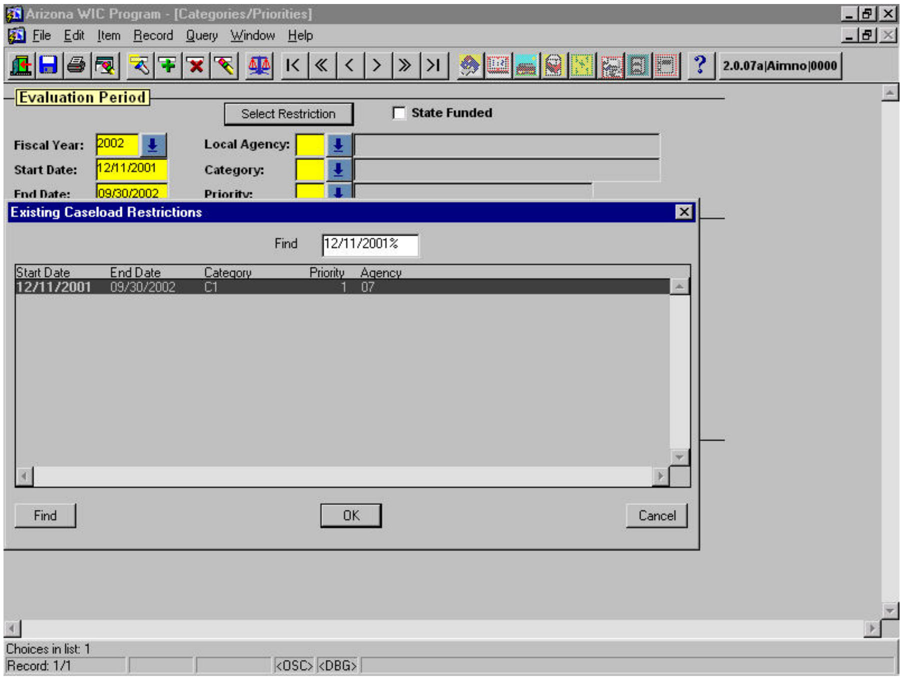


Figure 8 - Categories/Priorities (Select Restriction Pop-up)

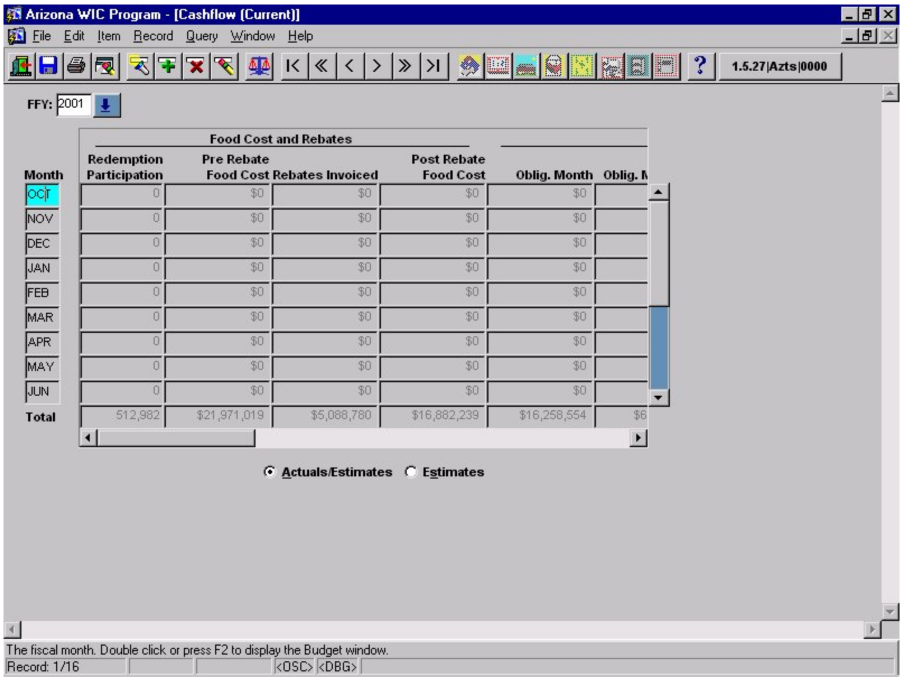


Figure 9 - Categories/Priorities – (Evaluate Cashflow Impact button)

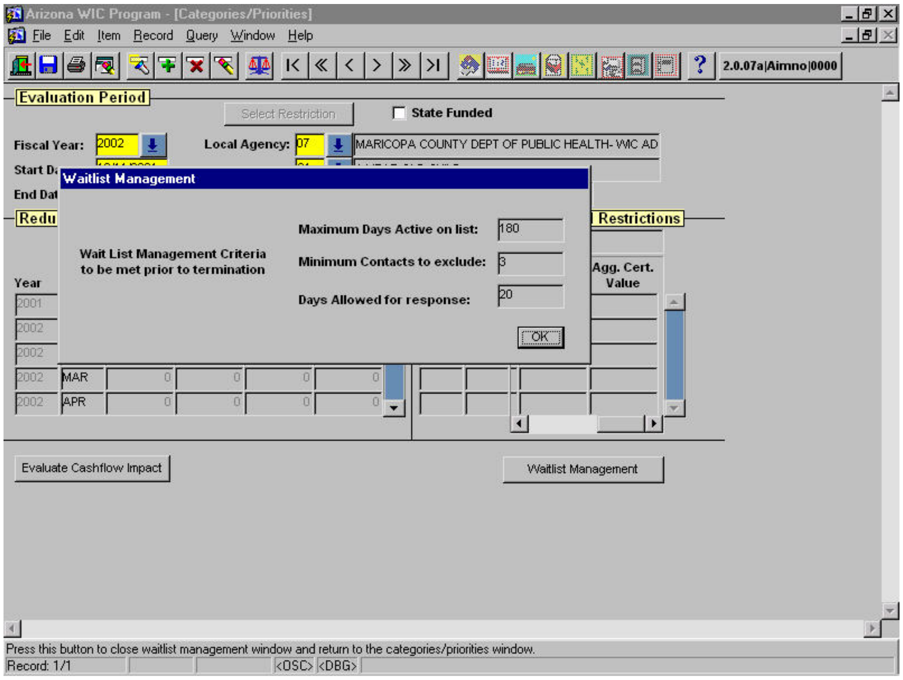


Figure 10 - Categories/Priorities (Wait List Mgmt Push Button)

Establish Restrictions

1. Select the FFY from the LOV.
2. To select an existing restriction, click the Select Restriction button.
3. Tab to the start date field and enter a start date. The system will default to the first date of the fiscal year, 10/01/1997 or tomorrow’s date if current fiscal year.
4. Tab to the end date and enter the end date. The system will default to the last day of the fiscal year.
5. Tab to the Local Agency field and select from the LOV the Local Agency where the restrictions will be applied.
6. Tab to the category field and select from the LOV the category to be restricted.
7. Tab to the priority field and select from the LOV the priority that corresponds to the category to be restricted.
8. Execute query to see the reductions from Certifications.
9. Click the Waitlist Management button to see the waitlist criteria before a participant can be terminated. The system will display: the Maximum days Active on List, the Maximum Contact to exclude, and the Days allowed for a response.
10. Click OK to exit this pop-up window and return to the categories and priorities window.
11. Click on Evaluate Cashflow Impact to go to the Cashflow window and see the impact on the cashflow of the program for the restriction applied.
12. Clicking Exit icon to return to the categories and priorities window.
13. Under the Reductions from Certifications section the system will display: the fiscal year for the reductions, the month, the certification count, the aggregate certification count, the value for each, and the aggregate value for each reduction.
14. Under the Effect of Potential Freeze, the system will display: the From and Thru dates that the restrictions applied this information is taken from the start and end dates above.
15. Use the scroll bar to view the year, month, Due for Cert, Termination, aggregate certification count, value for each, and the aggregate value for the reductions.

16. Click the Save icon.
17. Restrictions created with a start date prior to today's date cannot be deleted. The end date can be decreased to shorten the restriction length.

Figure 5 - Categories/Priorities (1 of 3)

Fields

Evaluation Period:
Fiscal Year - The Federal fiscal year. This field is mandatory and can be entered or selected from the list of values.
Local Agency – The Local Agency to which the restrictions are applied. This field is mandatory.
Start Date - The start date of the evaluation period. This field is mandatory. Should be within the financial year and greater than the current date. This value will default to the current date + 1.
Category - The category on which the restriction is imposed. This field is mandatory. A list of values is available.
End Date - The end date of the evaluation period. This field is mandatory. Should be within the financial year and greater than the current date. This value will default to the September 30 of the fiscal year entered.
Priority - The priority on which the restriction is imposed. This field is mandatory. A list of values is available.

Reductions From Certifications:
Year - The calendar year for the fiscal year of the certification end date. This field is display only.
Month - The calendar month of the certification end date.
Cert. Count - The count of the number of certification end dates that come due in the fiscal month being evaluated that are of the above category and priority combination.
Agg. Cert. Count - If a previous month exists for the category/priority combination in the month and fiscal year indicated then, the aggregate reduction is the value of 'Agg Cert. Count' (from the previous month) + the value of 'Reduction' in the current month otherwise the aggregate reduction is the value of 'Cert. Count' in the current month.
Value Each - The estimated cost (value) of the certification to the WIC Program for the month indicated.
Agg. Cert. Value - The "Agg. Cert. Value" is the product of "Agg. Cert. Count" * "Value Each."

Reductions from Stored Certifications

Reductions from stored restrictions data will be displayed from the 'caseload restrictions', also latest 'Effects of Potential Freeze' data will be displayed from the certification. If the evaluation period is for current/future month then user is allowed to modify the period. Even a restriction already imposed can be deleted if it is for a future period. When the evaluation period is changed by the user data on 'Reductions from Certification' are updated fetching values from certifications, but data on 'Reductions from Stored Restrictions' remains the same.
From - The original Start Date of the evaluation period selected by the user from the pop-list.
Thru - The original End Date of the evaluation period selected by the user from the pop-list.
Year - The calendar year of the selected period for which restriction already imposed.
Month - The calendar month of the year for which restrictions are already imposed.
Due for Cert - The count of the number of certifications as stored at the time of creation of the restriction.

Termination – The count of the number of certifications that will be terminated during that period.
Agg. Cert. Count - If a previous month exists for the category/priority combination in the month and fiscal year indicated then, the aggregate reduction is the value of 'Agg Cert. Count' (from the previous month) + the value of 'Reduction' in the current month otherwise the aggregate reduction is the value of 'Cert. Count' in the current month.
Value Each - The estimated cost (value) of the certification to the WIC Program for the month indicated.
Agg. Cert. Value - The "Agg. Cert. Value" is the product of "Agg. Cert. Value" * "Value Each."

Push Button(s)

Select Restriction - Allows user to access previously saved restrictions.
Evaluate Cashflow Impact - When the user presses the button to "Evaluate Cashflow Impact" an analysis takes place to assist the user in determining the effect (module result) of the financial impact of the change in participation (Reduction) for each of the months displayed to be frozen in the form. This is done by posting appropriate changes to the financial tables and then presenting the Cashflow Spreadtable form in the query only mode. When the user dismisses the Cashflow spreadtable form the posted transactions are rolled back. These steps can be performed as many times as necessary by the user until the desired financial impact is achieved.
Waitlist Management - When pressed waitlist management criteria is displayed in separate window.

Checkbox

State Funded – Allows user to select this box to restrict participants who are state funded rather than federally funded.

Figure 8 - Categories/Priorities (Select Restriction Pop-up)

This pop-up window emulates the same properties as a LOV Query window. The 'Find', 'OK', and 'Cancel' buttons have been explained in previous chapters.

Figure 9 - Categories/Priorities – (Evaluate Cashflow Impact button)

When pressed this button will display a current view of cashflow based upon the selected Categories/Priorities criteria.

Figure 10 - Categories/Priorities (Wait List Mgmt Push Button)

Fields

Waitlist Management:

Wait List Management Criteria to be met prior to termination

Maximum Days Active on List - The maximum number of days that a Participant will remain active on the wait list before automatic change of status to inactive. This field is display only.

Minimum Contacts to Exclude - The minimum number of contact attempts that must be made to notify a Participant on the wait list that an opportunity exists to provide service. This field is display only.
Days Allowed for Response - The number of days that a Participant has to respond to a contact attempt to notify that an opportunity to provide service is available. This field is display only.

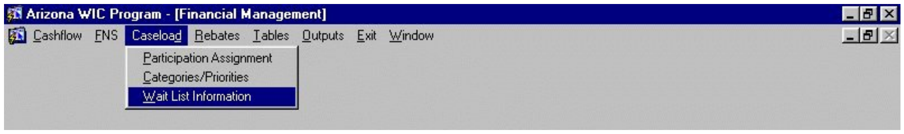
Push Button(s)

OK - Clicking this button closes the Wait List Management Criteria Window.

Maintain Wait List Information

To Maintain Wait List Information:

1. Click on Caseload from the menu bar.
2. Click on Wait List Information as shown below:



The Wait List Information Window is displayed:

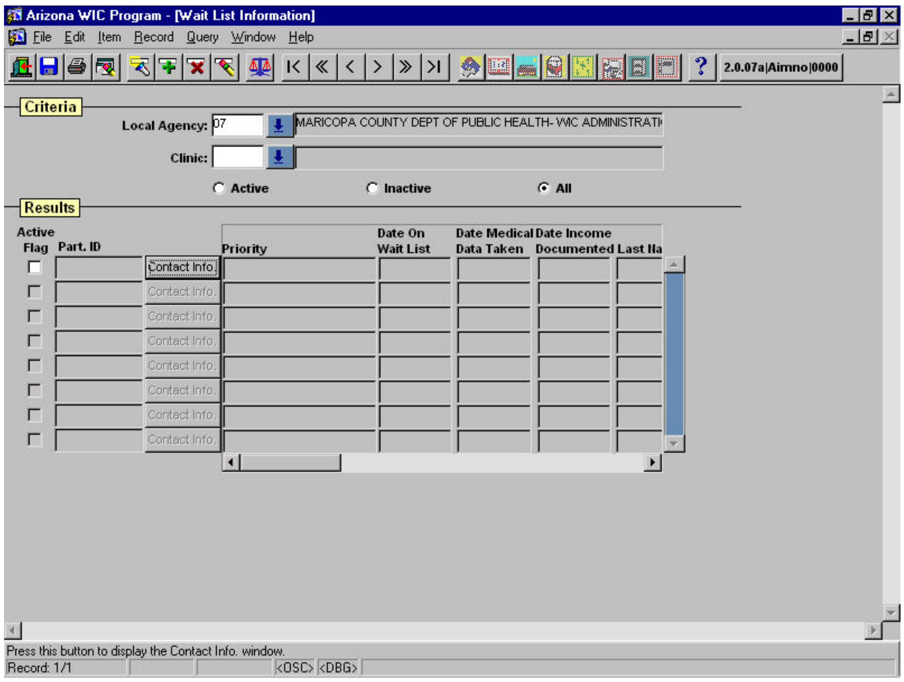


Figure 11 - Wait List Information

Review Participant Wait List Information

1. Select the local agency from the LOV.
2. Select the clinic from the LOV.
3. Click the active, inactive or all radio buttons to view the records of Participants who are active, (currently eligible to receive WIC benefits), inactive (currently not eligible to receive WIC benefits), or all (view both active and inactive Participant records).The system will default to active records.
4. Click the Part. ID field to view active, inactive or all Participants, based on the radio button selected.
5. Information is displayed such as Priority, date the Participant was put on the wait list, date the medical information was taken, Date Income Documented, last name, first name, middle

initial, phone number, category, priority, and comment. This information is brought forward from the certification module.

6. Click or tab forward to the comments field, to add any comments about the Participant.

Record a Participant Contact

1. Select the local agency from the LOV.
2. Select the clinic from the LOV.
3. Click the active, inactive or all radio buttons to view the records of Participants who are active, (currently eligible to receive WIC benefits), inactive (currently not eligible to receive WIC benefits), or all (view both active and inactive Participant records).
4. Click the Participant ID field to view active, inactive or all Participants, based on the radio button selected
5. Information is displayed such as priority, date the Participant was put on the wait list, date the medical information was taken, Date Income Documented, last name, first name, middle initial, phone number, category, priority, and comment. This information is brought forward from the certification module.
6. Click or tab forward to the comments field, to add any comments about the Participant.
7. Click the contact button to record information about contacting the Participant. The system will display the Contact Info pop-up window below:

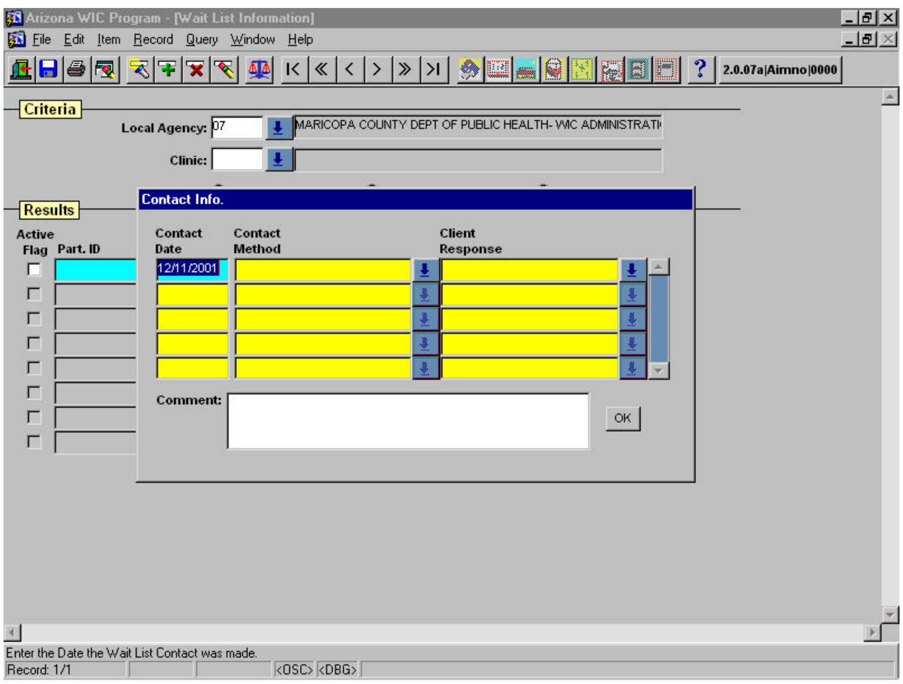


Figure 12 - Wait List Information (Contact Info Push Button)

8. Clicking the contact date field will automatically populate the field with today’s date. The system will not allow the user to enter a date that is prior to today’s date, and will also not allow any updates to records occurring prior to today’s date.
9. Tab to the contact method and select the contact method type from the LOV
10. Tab to the Participant response field and select the response from the LOV
11. Tab to the comments section to record any comments about the contact
12. Click the OK button

13. The system will ask if you wish to save these changes
14. Click on yes or no to indicate whether you wish to save these changes
15. If the Participant response is recorded as a positive response and the record is saved, the Participant will be removed from the active wait list status and recorded as inactive. This is because the Participant will be receiving WIC benefits and is no longer on the wait list.
16. The system will only allow the user to take a Participant from an active status to an inactive status based on a positive Participant response recorded in the contact pop-up window
17. If the required number of negative responses from the Participant are recorded within the State mandated time frames, the Participant will automatically be moved from the active status to the inactive status and will receive a termination notice via the end of day process

Figure 11 - Wait List Information

Fields

Local Agency - The user selects from a drop-down list the local agency for which the wait list applies. This field is mandatory.
Clinic - The user selects a clinic from the list of values here. This field is mandatory.
Participant ID - The field contains the Participant identification number for which the record applies. This field is display only.
Priority - The priority for the Participant for which the record applies. This field is display only.
Date On Wait List - Date on which the Participant was put on the waiting list. This field is display only.
Date Medical Date Taken - The date on which the medical data was taken. This field will serve as the primary sorting mechanism to establish priority to people on the wait list (first come first serve). This field is display only.
Date Income Documented - The date on which the participant information is added. This field is display only.
Last Name - The last name for the Participant for which the record applies. This field is display only.
First Name - The first name for the Participant for which the record applies. This field is display only.
MI1 - The middle initial for the Participant for which the record applies. This field is display only.
MI2 - The middle initial for the Participant for which the record applies. This field is display only.
Category - The category for the Participant for which the record applies. This field is display only.
Comment - Comments can be added here. This field is optional.

Radio Buttons

Active - This field when checked indicates that the Participant is an active member on the Wait List and as such entitled to consideration for program services when they become available.
Inactive - Checked when Participant is an inactive member on the Wait List.
All - When checked indicates both active and inactive Participants.

Check Boxes

Active Flag - This field when checked indicates that the Participant is an active member on the Wait List and as such entitled to consideration for program services when they come available.

Figure 12 - Wait List Information (Contact Info Push Button)

Fields

Contact Date - The date the Participant was last contacted or an attempt was made to contact. This field is optional.
Contact Method - The user selects the method that was used for the last contact or an attempt to contact. This field is optional.
Client Response - The response or result of the contact attempt identified by this record. This field is optional.
Comment - Comments can be added here.

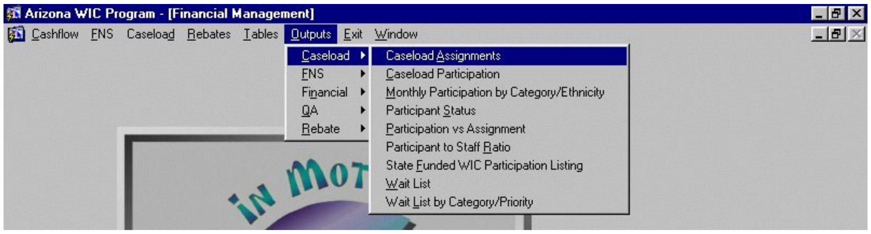
Push Button(s)

OK - Closes the Contact Info. Window and returns the user to the Wait List Information Window.

Producing a Caseload Assignments Report

To Produce a Caseload Assignments Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on Caseload, the sub-menu is displayed.
3. Click on Caseload Assignments as shown below:



The Caseload Assignment Window is displayed:

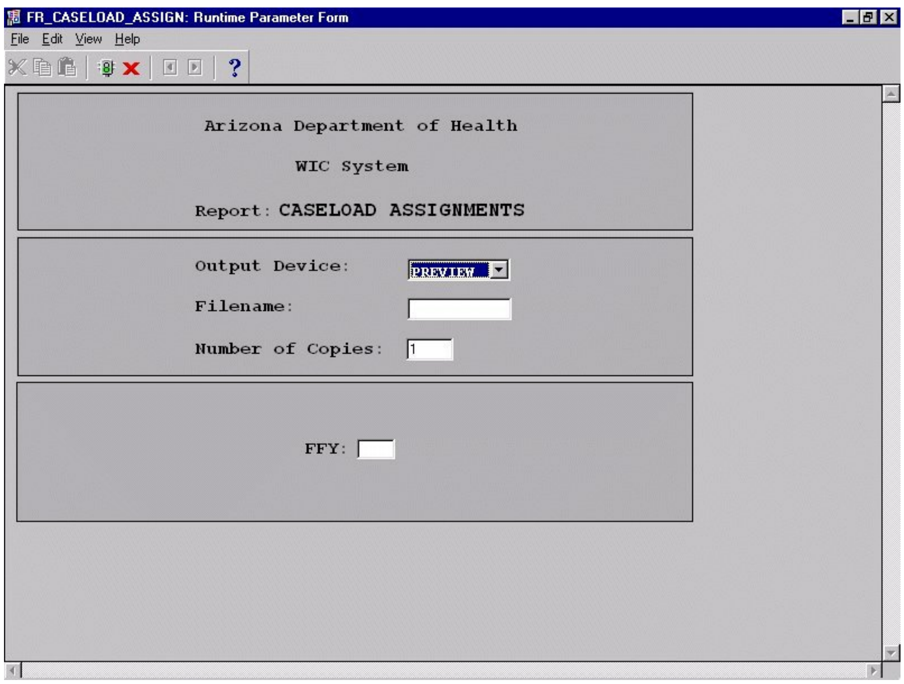
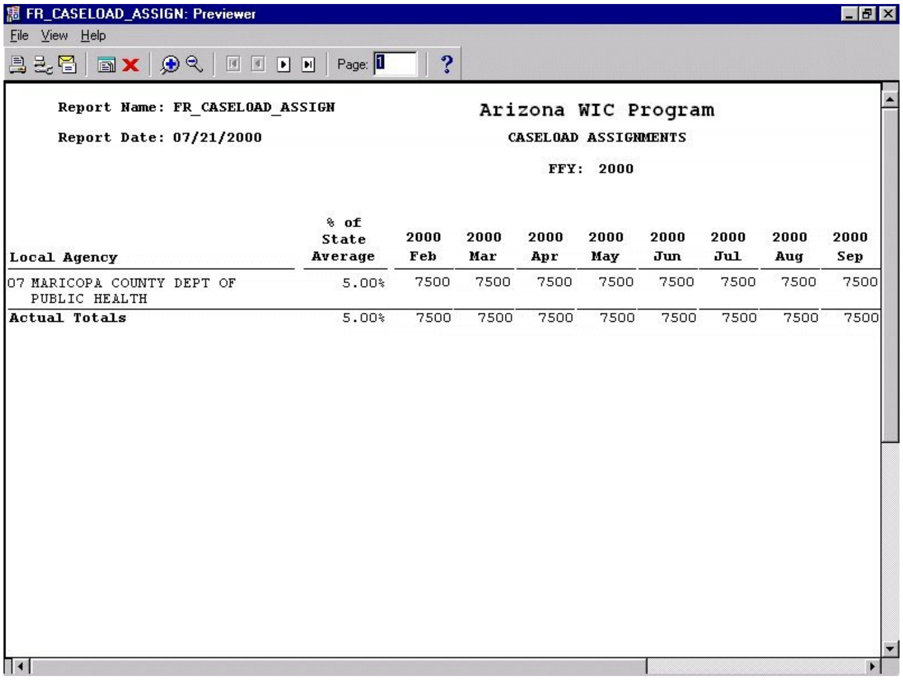


Figure 13 - Caseload Assignments

Produce a Caseload Assignments Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Caseload Assignments report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated.
3. TAB to the Number of Copies field. Select the number of report desired by typing that number in this field.
4. TAB to the FFY field. Enter the Federal Fiscal Year of the report in the following format: YYYY.

5. Click the green light icon to bring up the preview screen shown below:



Report Name: FR_CASELOAD_ASSIGN
Report Date: 07/21/2000

Arizona WIC Program
CASELOAD ASSIGNMENTS
FFY: 2000

Local Agency	% of State Average	2000 Feb	2000 Mar	2000 Apr	2000 May	2000 Jun	2000 Jul	2000 Aug	2000 Sep
07 MARICOPA COUNTY DEPT OF PUBLIC HEALTH	5.00%	7500	7500	7500	7500	7500	7500	7500	7500
Actual Totals	5.00%	7500	7500	7500	7500	7500	7500	7500	7500

Sample Caseload Assignments Report

6. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
7. Click the Print icon to print the report. To activate the system's e-mail capabilities, click the Mail icon.
8. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
File Name - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
FFY - The Federal Fiscal Year for which the report is to be generated.

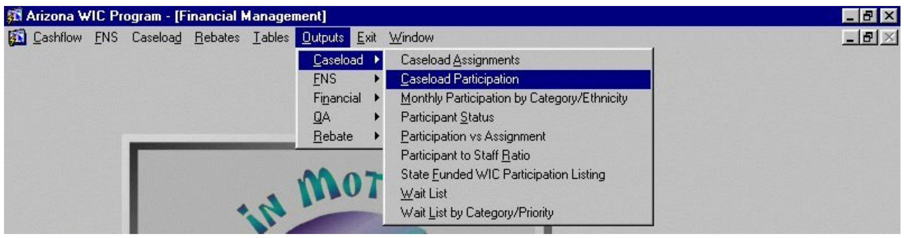
Calculations

% of State Average - (AVG(Caseload)/100)%
Feb...Sep - Count (Caseload assignments)
Actual Totals - SUM (Issuance Participation)

Producing an Actual Participation Report

To Produce an Actual Participation Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on Caseload, the sub-menu is displayed.
3. Click on Caseload Participation as shown below:



The Actual Participation Window is displayed:

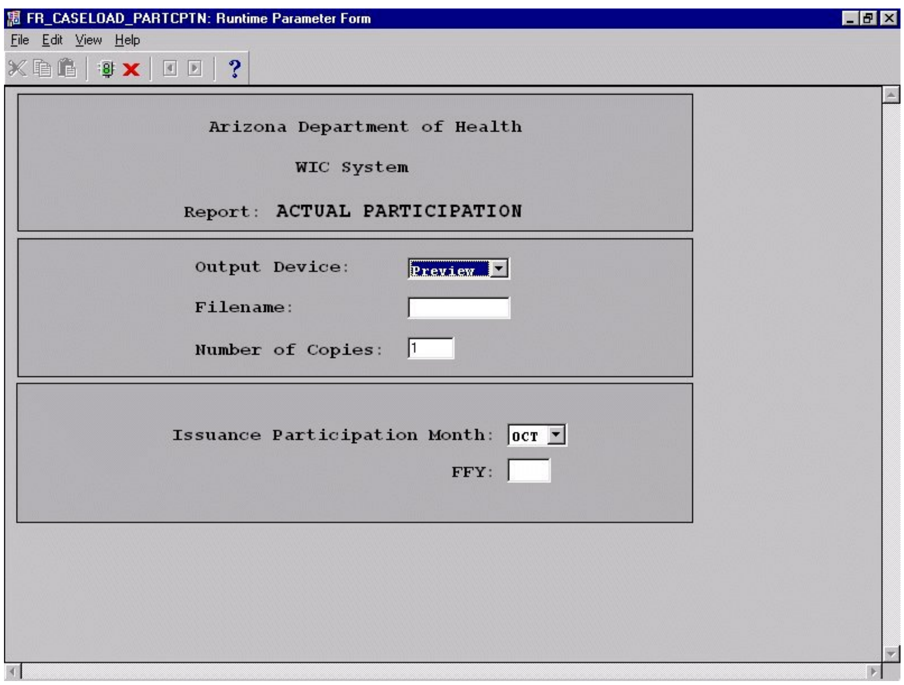
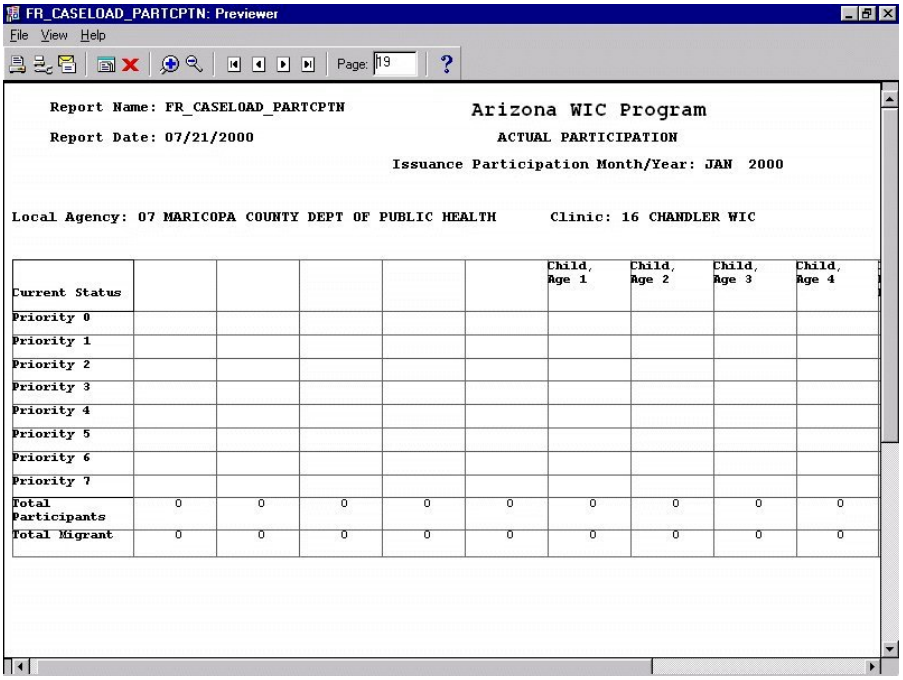


Figure 14 - Actual Participation

Produce an Actual Participation Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Caseload Participation report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated.
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.

4. TAB to the Issuance Participation Month field. Enter the issuance participation month of the report in the following format: MM.
5. TAB to the FFY field. Enter the issuance participation year of the report in the following format: YYYY.
6. Click the green light icon to bring up the preview screen shown below:



Current Status						Child, Age 1	Child, Age 2	Child, Age 3	Child, Age 4
Priority 0									
Priority 1									
Priority 2									
Priority 3									
Priority 4									
Priority 5									
Priority 6									
Priority 7									
Total Participants	0	0	0	0	0	0	0	0	0
Total Migrant	0	0	0	0	0	0	0	0	0

Sample Actual Participation Report

7. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
8. Click the Print icon to print the report. To activate the system's e-mail capabilities, click the Mail icon.
9. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
File Name - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
Issuance Participation Month - The user may designate the month that the report is to be queried on.
FFY - Enter the issuance participation year of the report in the following format: YYYY.

Calculations

Count participants by category and priority based on categories and priorities defined.

Priority - COUNT(Participants)
Total Participating - SUM(Current Status)
Total Migrant - COUNT(Migrant_Flag)

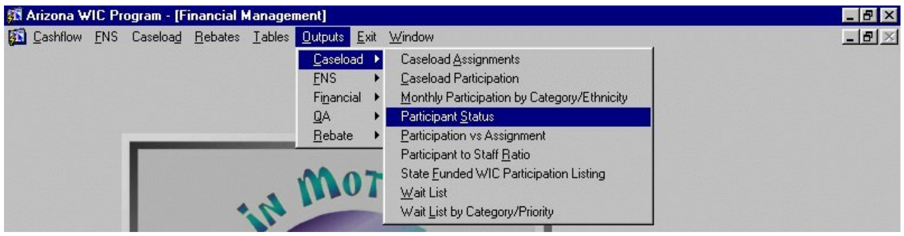
Background Processes:

The actual column headings on this report will be determined by the categories defined by the user in the Categories base table in the Certification area. Please refer to maintain basetables, categories in the Certification and Enrollment section for more details.

Producing a Participant Status Report

To Produce a Participant Status Report:

1. Click on Outputs from the menu bar
2. Position the cursor on Caseload, the sub-menu is displayed
3. Click on Participant Status as shown below:



The Participant Status Window is displayed:

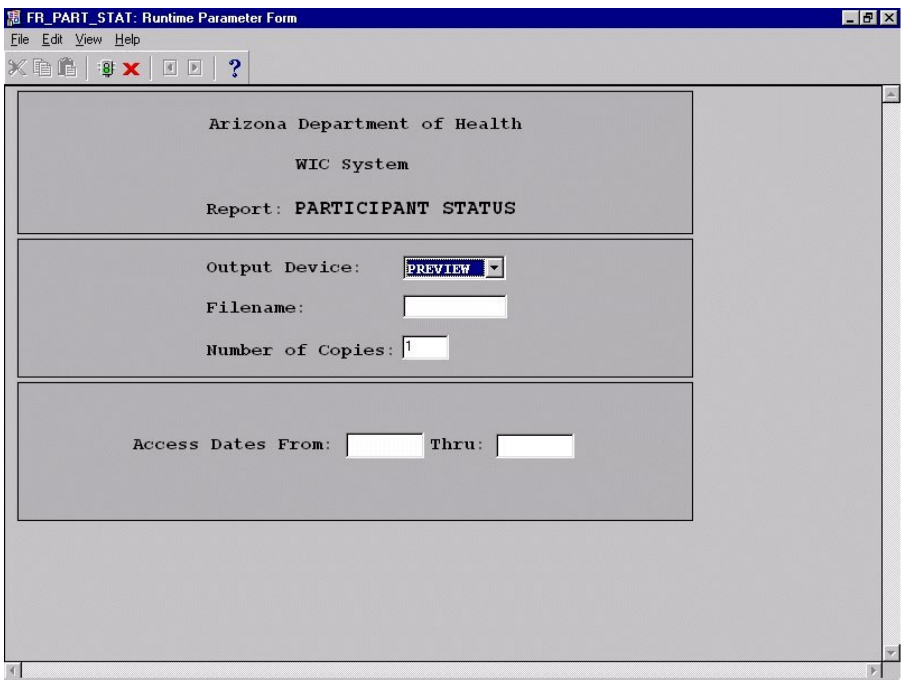
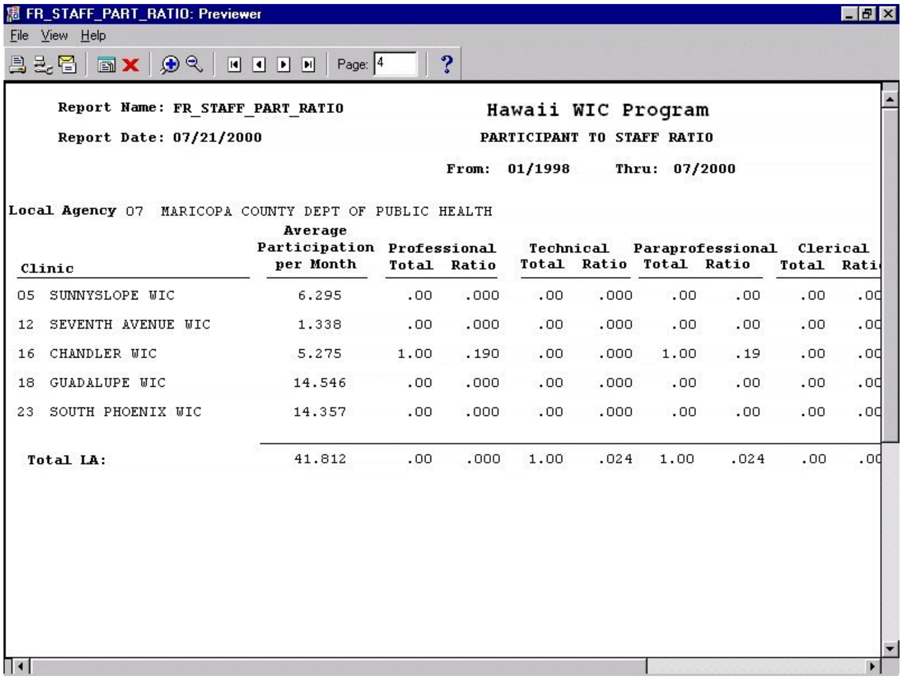


Figure 15 - Participant Status

Produce a Participant Status Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device you want the Participant Status report sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated.
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.

4. TAB to the Access Dates From field and enter the beginning access date the report is to cover. This date should be formatted: MM/DD/YYYY.
5. TAB to the Thru field and enter the ending access date you want the report to cover. This date should be formatted: MM/DD/YYYY.
6. Click the green light icon to bring up the preview screen shown below:


FR_STAFF_PART_RATIO: Previewer

File View Help

Page: 4

Report Name: FR_STAFF_PART_RATIO

Report Date: 07/21/2000

Hawaii WIC Program

PARTICIPANT TO STAFF RATIO

From: 01/1998 Thru: 07/2000

Local Agency 07 MARICOPA COUNTY DEPT OF PUBLIC HEALTH

Clinic	Average Participation per Month	Professional Total	Professional Ratio	Technical Total	Technical Ratio	Paraprofessional Total	Paraprofessional Ratio	Clerical Total	Clerical Rati
05 SUNNYSLOPE WIC	6.295	.00	.000	.00	.000	.00	.00	.00	.00
12 SEVENTH AVENUE WIC	1.338	.00	.000	.00	.000	.00	.00	.00	.00
16 CHANDLER WIC	5.275	1.00	.190	.00	.000	1.00	.19	.00	.00
18 GUADALUPE WIC	14.546	.00	.000	.00	.000	.00	.00	.00	.00
23 SOUTH PHOENIX WIC	14.357	.00	.000	.00	.000	.00	.00	.00	.00
Total LA:	41.812	.00	.000	1.00	.024	1.00	.024	.00	.00

Sample Participation Status Report

7. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
8. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
File Name - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
Access Date From/Thru - The range of dates upon which the report will filter data, excluding information not falling within the specified range.

Calculations

 # Enrolled - COUNT (CERTIFICATION_CERT_START_DATE)
 # Wait Listed P1...P7 - COUNT(Wait_List_Flag)

Actual Particip - COUNT(Issuance Participation)

Cert (P) With EDC - COUNT(Category)

Children 5 Years To become Ineligible - COUNT(Termination_Date)

Breastfeeding Women To become Ineligible - COUNT(Termination_Date)

Postpartum Women To become Ineligible - COUNT(Termination_Date)

(I) - (C) Category Transfers - COUNT(Categories)

(I) Fully Breastfed - COUNT(BF_Pattern)

Participants Disqualified - COUNT(Term_Reason)

Participant Terminated Other Than Category Ineligible - COUNT(Term_Reason)

Part Term Other Than Catg Inelig - COUNT(Term_Reason)

New Certs - COUNT(Certification = 1)

Recerts - COUNT(Certification > 1)

Out of State Adds - COUNT(Certification)

Infants 4th Month - COUNT(Birth date)

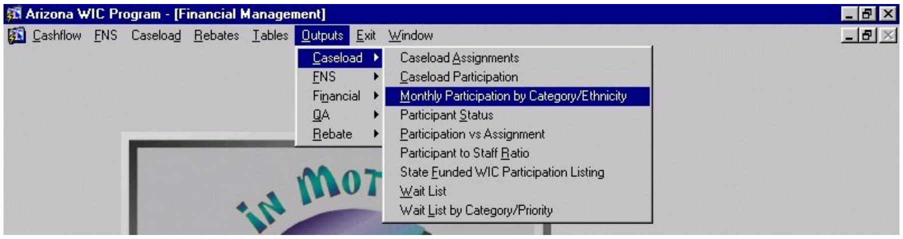
Infants 6th Month - COUNT(Birth date)

Children on Formula(3A1) - COUNT(priority 3a1)

Producing a Monthly Participation by Category Ethnicity Group Report

To Produce a Monthly Participation by Category Ethnicity Group Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on Caseload, the sub-menu is displayed.
3. Click on Monthly Participation by Category Ethnicity Group Report.



The Monthly Participation by Category Ethnicity Group Window is displayed:

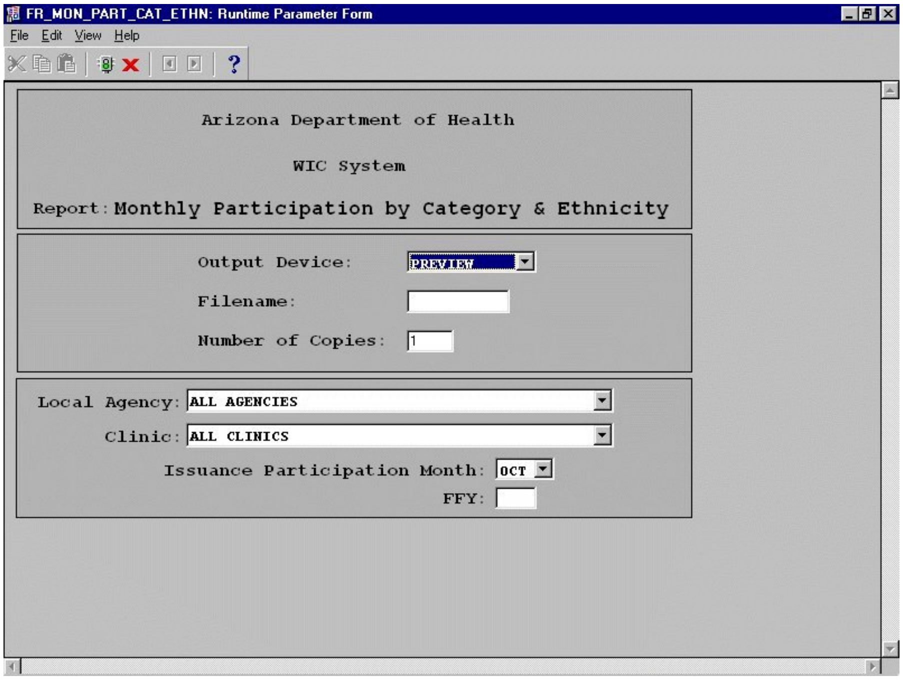
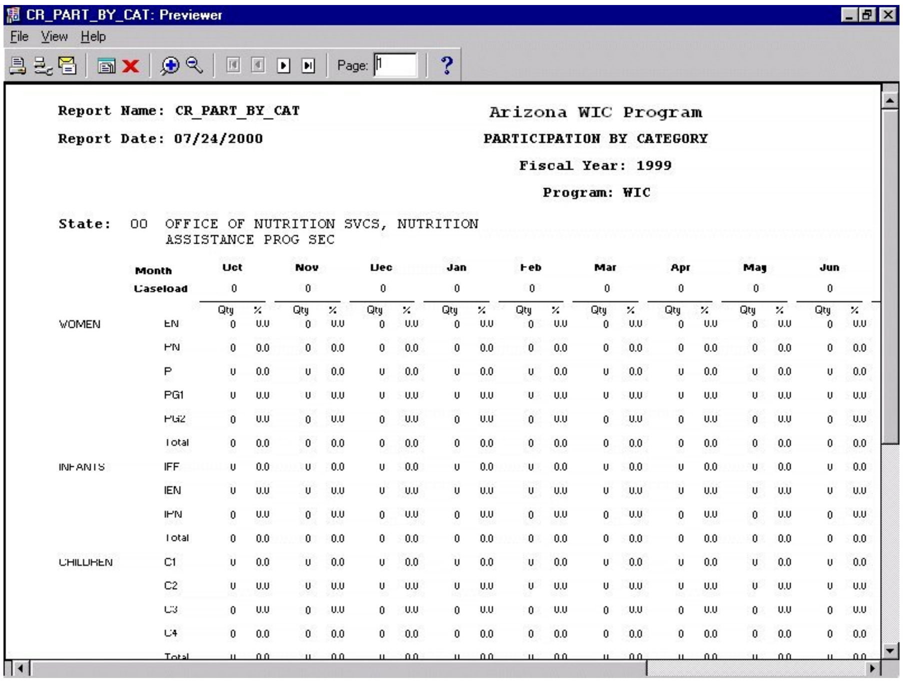


Figure 16 - Monthly Participation by Category Ethnicity Group

Produce a Monthly Participation by Category Ethnicity Group Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Participant Status report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.

4. TAB to the Local Agency field and select the appropriate Agency for which the user wants to retrieve data.
5. TAB to the clinic field and select the clinic for which the user wants to retrieve data.
6. Click the down arrow in Issuance Participation Month field to activate the drop down box, then select the month the report is to encompass by clicking once on that month.
7. TAB to the FFY field. Enter the Federal Fiscal Year the report is to cover in the following format: YYYY
8. Click the green light icon to bring up the preview screen shown below.



Report Name: CR_PART_BY_CAT
Report Date: 07/24/2000

Arizona WIC Program
PARTICIPATION BY CATEGORY
Fiscal Year: 1999
Program: WIC

State: 00 OFFICE OF NUTRITION SVCS, NUTRITION ASSISTANCE PROG SEC

	Month	Oct		Nov		Dec		Jan		Feb		Mar		Apr		May		Jun	
	Caseload	0		0		0		0		0		0		0		0		0	
		Qty	%	Qty	%	Qty	%	Qty	%	Qty	%	Qty	%	Qty	%	Qty	%	Qty	%
WOMEN	EN	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	PN	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	P	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	PG1	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	PG2	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	Total	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
INFANTS	IFF	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	IEN	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	IPN	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	Total	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
CHILDREN	C1	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	C2	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	C3	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	C4	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
	Total	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0

Sample Monthly Participation by Category and Ethnicity Group Report

9. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
10. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
File Name - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
Issuance Month - The user may designate the month that the report is to be queried on.
FFY - The user may designate the FFY that the report is to be queried on
Local Agency – The user can select the local agency for which they want the report to retrieve data.
Clinic – The user can select the clinic for which they want the report to retrieve data.

Calculations

PCT - (COUNT(Ethnic Group)) / (COUNT(Participants))

Total of priority 0
Total of priority 1
Total of priority 2
Total of priority 3
Total of priority 4
Total of priority 5
Total of priority 6
Total of priority 7

Total count of each ethnicity group.
Total count of each ethnicity group participating.
Total count of each ethnicity group non-participating.

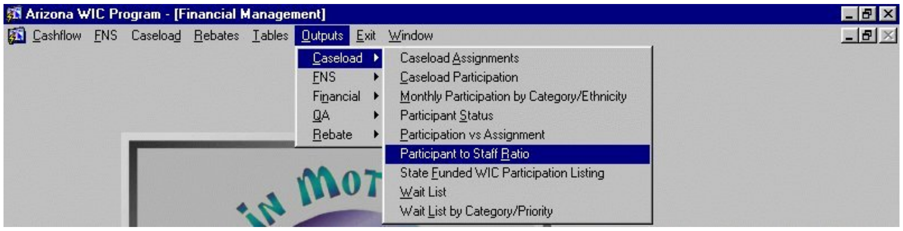
Total (count) of each category.
Total (count) of each category participating.
Total (count) of each category non-participating.
Total (count) of migrant participants by category.
Total (count) of Refuge participants by category.

PCT - (COUNT(Priority))/(COUNT(Participants))

Producing a Participant to Staff Ratio Report

To Produce a Participant to Staff Ratio Report:

1. Click on Outputs from the menu bar.
1. Position the cursor on Caseload, the sub-menu is displayed.
3. Click on Participant to Staff Ratio as shown below:



The Participant to Staff Ratio Window is displayed:

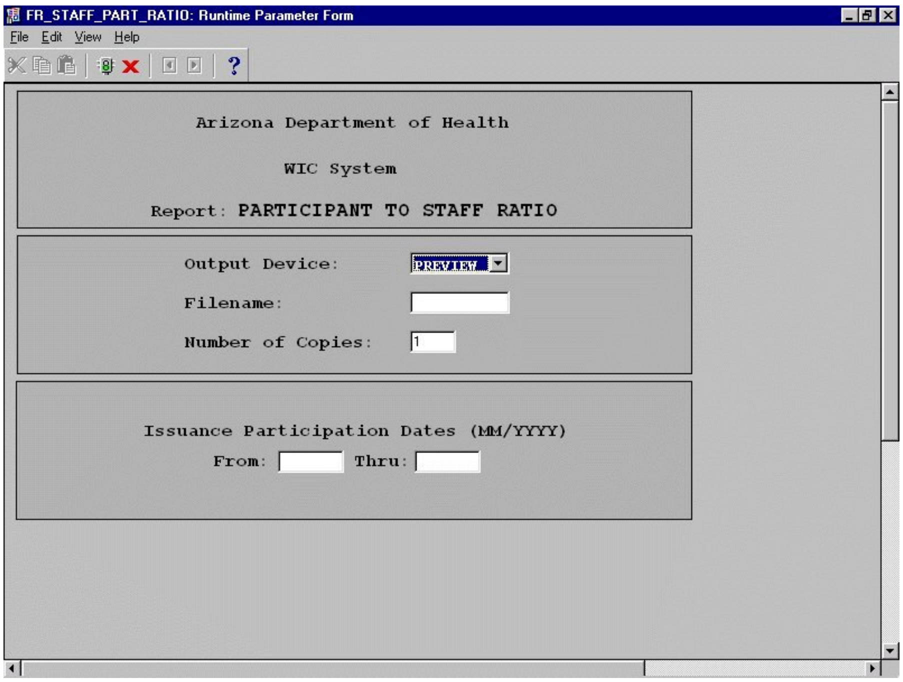
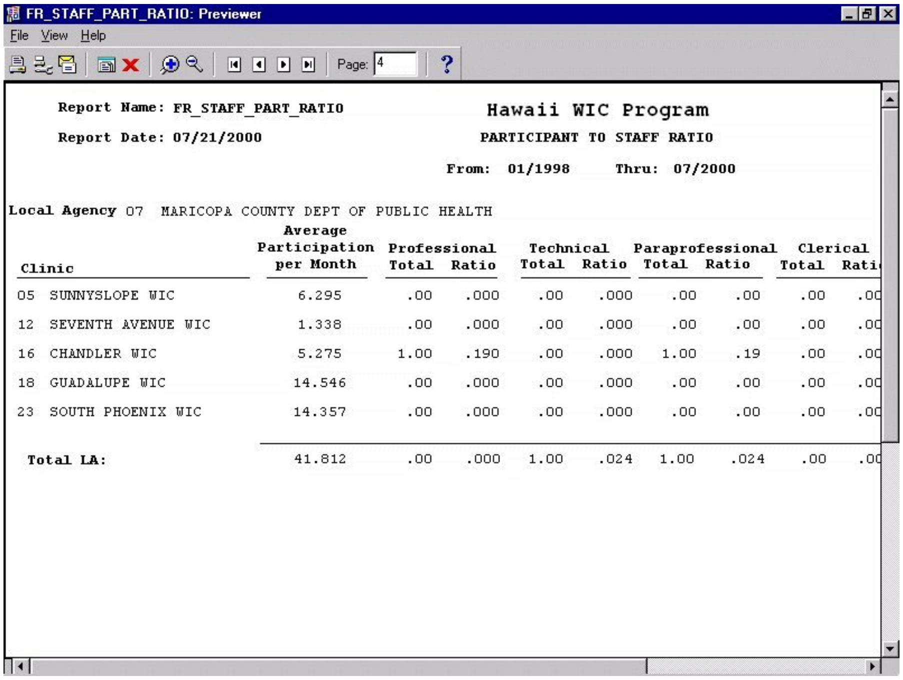


Figure 17 - Participant to Staff Ratio

Produce a Participant to Staff Ratio Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Caseload Assignments report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename you want to give the report being generated
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.

4. TAB to the Issuance Participation Dates (Month/Year) From field. Enter the from date in the following format: MM/YYYY.
5. TAB to the Thru field and enter the date in the following format: MM/YYYY.
6. Click the green light icon to bring up the preview screen shown below:



Report Name: FR_STAFF_PART_RATIO
Report Date: 07/21/2000

Hawaii WIC Program
PARTICIPANT TO STAFF RATIO
From: 01/1998 Thru: 07/2000

Local Agency 07 MARICOPA COUNTY DEPT OF PUBLIC HEALTH

Clinic	Average Participation per Month	Professional Total	Professional Ratio	Technical Total	Technical Ratio	Paraprofessional Total	Paraprofessional Ratio	Clerical Total	Clerical Rati
05 SUNNYSLOPE WIC	6.295	.00	.000	.00	.000	.00	.00	.00	.0
12 SEVENTH AVENUE WIC	1.338	.00	.000	.00	.000	.00	.00	.00	.0
16 CHANDLER WIC	5.275	1.00	.190	.00	.000	1.00	.19	.00	.0
18 GUADALUPE WIC	14.546	.00	.000	.00	.000	.00	.00	.00	.0
23 SOUTH PHOENIX WIC	14.357	.00	.000	.00	.000	.00	.00	.00	.0
Total LA:	41.812	.00	.000	1.00	.024	1.00	.024	.00	.0

Sample of Participant to Staff Ratio Report

7. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
8. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
Filename - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
Issuance Participation Dates (Month/Year) From - The user may designate the date that the report is to start being queried on.
Thru - The user may designate the date that the report is to end being queried on.

Calculations

Average Participation Total - AVG(Participants)
Paraprofessional Total - COUNT(Paraprofessional)
Paraprofessional Ratio - COUNT(Paraprofessional) / COUNT(Participants)

Clerical Total - COUNT(Clerks)
Clerical Ratio - COUNT (Clerks) / COUNT(Participants)
Managerial Total - COUNT(Managerial)
Managerial Ratio - COUNT(Managerial) / COUNT(Participants)
Totals Total - Sum of each row - SUM(Workers)
Totals Ratio - SUM(Workers) / COUNT(Participants)
Total LA - SUM all columns
Professional Total - COUNT(Professionals)
Professional Ratio - COUNT(Professionals)/COUNT(Participants)
Technical Total - COUNT(Technical)
Technical Ratio - COUNT(Technical)/COUNT(Participants)

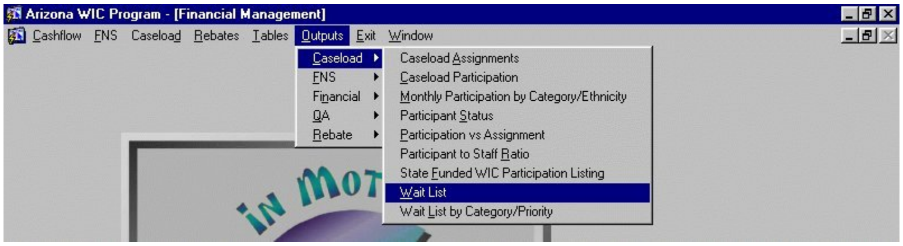
Background Processes:

The report column headings are populated from the title categories base table in the Operations Management Staff Data Module. See Operations Management Staff Data base table section for further details.

Producing a Wait List

To Produce a Wait List Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on Caseload, the sub-menu is displayed.
3. Click on Wait List as shown below:



The Wait List Window is displayed:

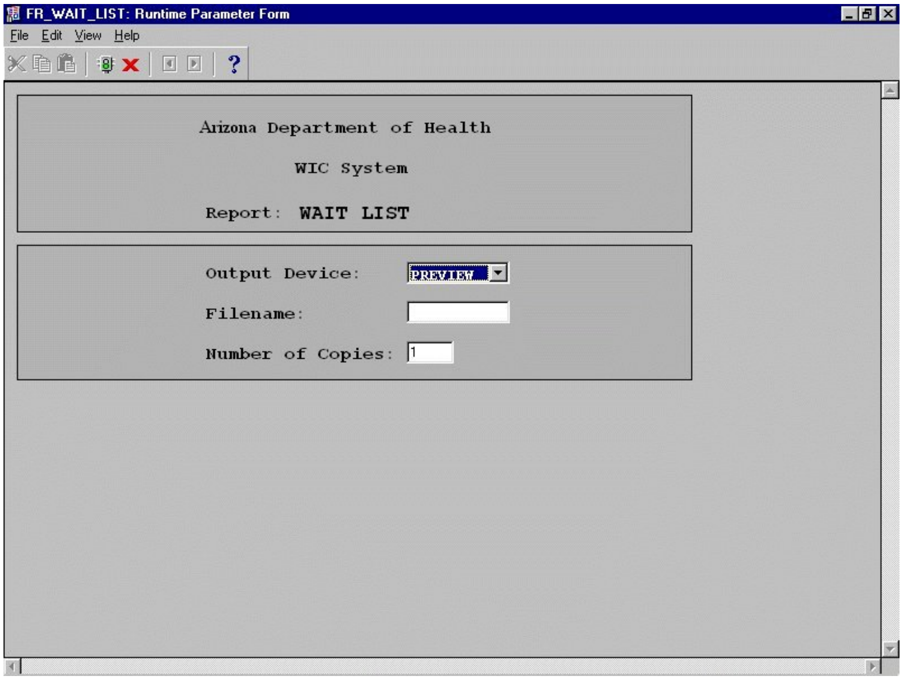
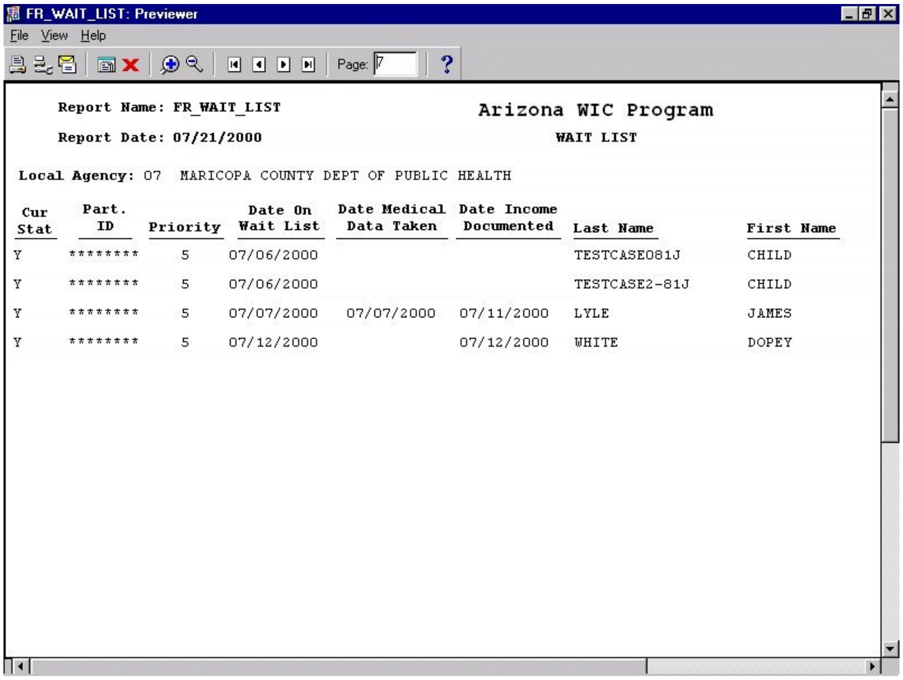


Figure 18 - Wait List

Produce a Wait List Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Wait List report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.

4. Click the green light icon button to bring up the preview screen shown below:


FR_WAIT_LIST: Previewer

File View Help

Report Name: FR_WAIT_LIST

Report Date: 07/21/2000

Arizona WIC Program

WAIT LIST

Local Agency: 07 MARICOPA COUNTY DEPT OF PUBLIC HEALTH

Cur Stat	Part. ID	Priority	Date On Wait List	Date Medical Data Taken	Date Income Documented	Last Name	First Name
Y	********	5	07/06/2000			TESTCASE081J	CHILD
Y	********	5	07/06/2000			TESTCASE2-81J	CHILD
Y	********	5	07/07/2000	07/07/2000	07/11/2000	LYLE	JAMES
Y	********	5	07/12/2000		07/12/2000	WHITE	DOPEY

Sample Wait List Report

5. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
6. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
File Name - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.

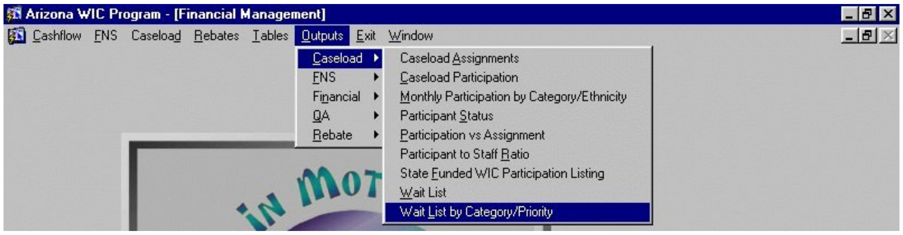
Calculations

None

Producing a Wait List by Category/Priority Report

To Produce a Wait List by Category/Priority Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on Caseload, the sub-menu is displayed.
3. Click on Wait List by Category/Priority as shown below:



The Wait List by Category/Priority Window is displayed:

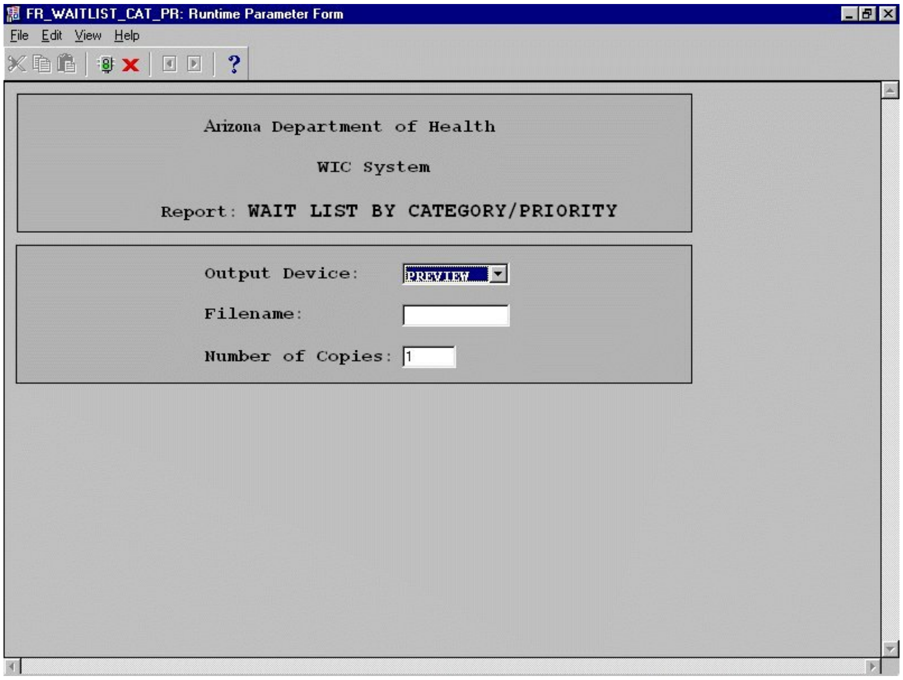
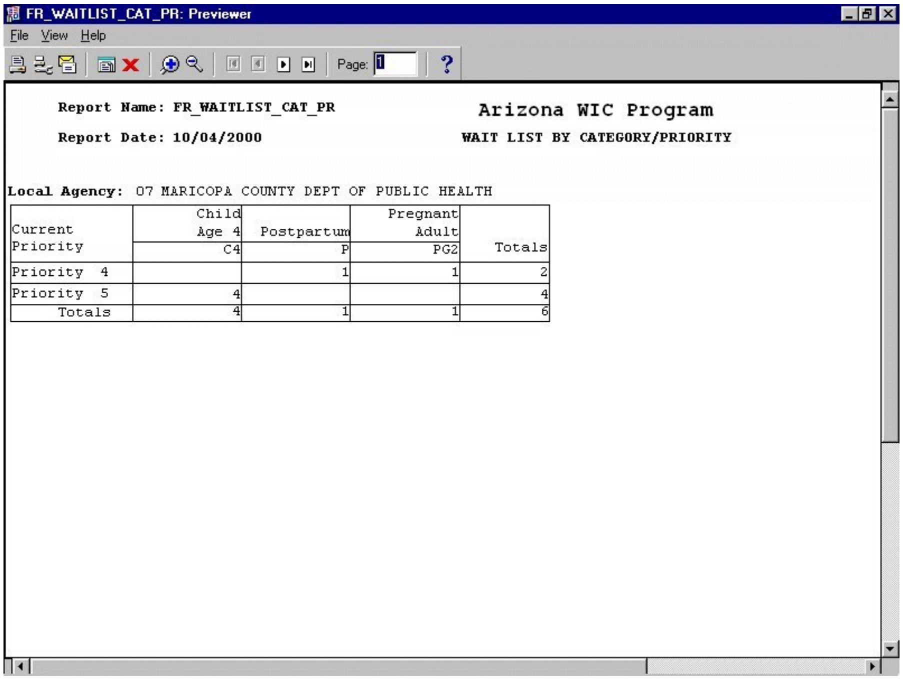


Figure 19 - Wait List by Category/Priority

Produce a Wait List by Category/Priority Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Caseload Assignments report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.

4. Click the green light icon to bring up the preview screen shown below:
5. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
6. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.



Sample Wait list by Category/Priority Report

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
File Name - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.

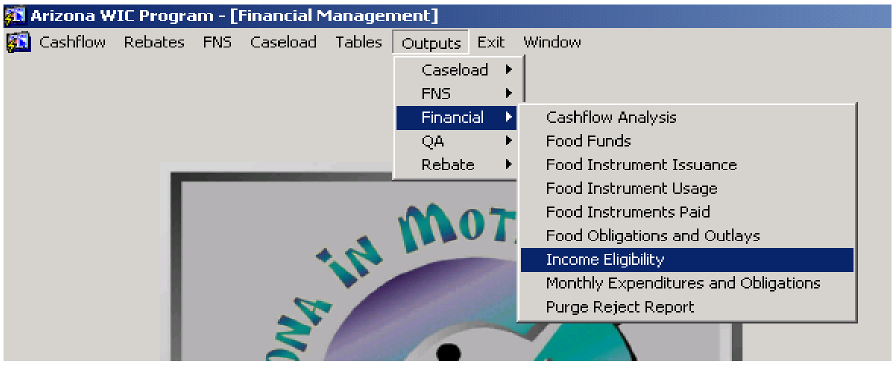
Calculations

Priority - COUNT(Participants)
LA Total - Sum of Column - TOTAL(Categories)
Totals - Sum of Row - TOTAL(Priorities)

Producing a WIC Income Eligibility Report

To Produce a WIC Income Eligibility Report:

1. Open Financial Management Module.
2. Click on Outputs from the menu bar.
3. Position the cursor on Financial, the sub-menu is displayed.
4. Click on WIC Income Eligibility as shown below:



The WIC Income Eligibility Window is displayed:

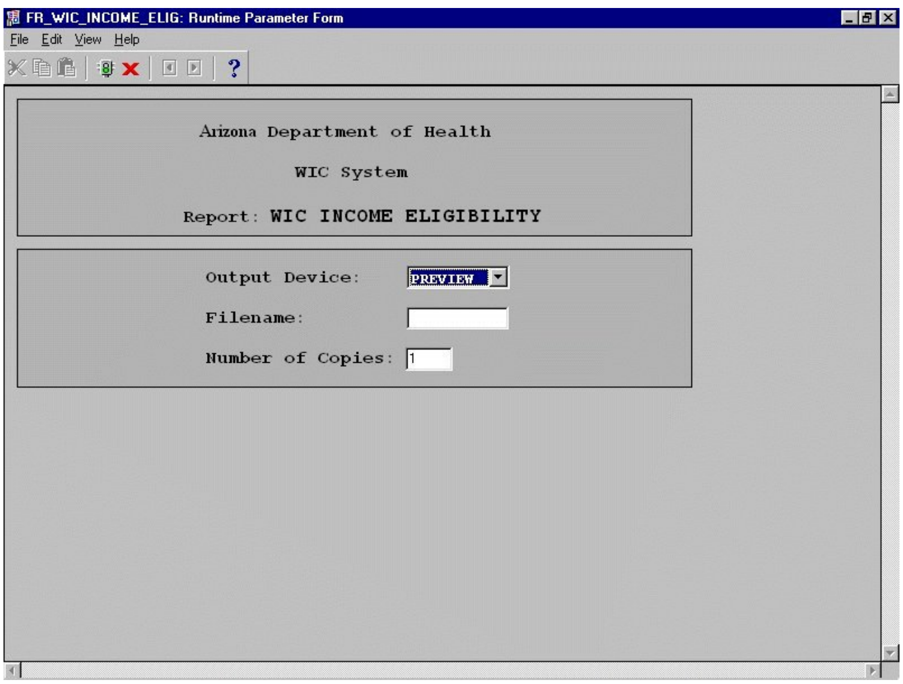
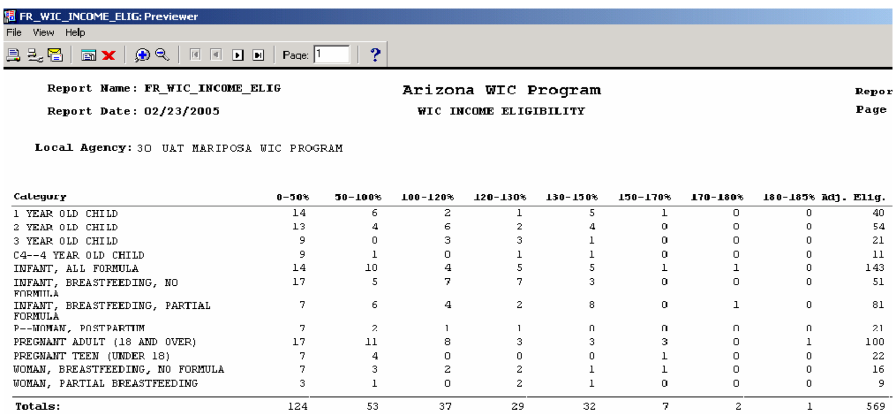


Figure 20 - WIC Income Eligibility

Produce a WIC Income Eligibility Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the WIC Income Eligibility report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.
4. Click the green light icon to bring up the preview screen shown below:


FR_WIC_INCOME_ELIG: Previewer
File View Help
Page: 1

Report Name: FR_WIC_INCOME_ELIG
Report Date: 02/23/2005

Arizona WIC Program
WIC INCOME ELIGIBILITY

Repor
Page

Local Agency: 30 UAT MARIPOSA WIC PROGRAM

Category	0-50%	50-100%	100-120%	120-130%	130-150%	150-170%	170-180%	180-185%	Adj. Elig.
1 YEAR OLD CHILD	14	6	2	1	5	1	0	0	40
2 YEAR OLD CHILD	13	4	6	2	4	0	0	0	54
3 YEAR OLD CHILD	9	0	3	3	1	0	0	0	21
C4--4 YEAR OLD CHILD	9	1	0	1	1	0	0	0	11
INFANT, ALL FORMULA	14	10	4	5	5	1	1	0	143
INFANT, BREASTFEEDING, NO FORMULA	17	5	7	7	3	0	0	0	51
INFANT, BREASTFEEDING, PARTIAL FORMULA	7	6	4	2	8	0	1	0	81
P--WOMAN, POSTPARTUM	7	2	1	1	0	0	0	0	21
PREGNANT ADULT (18 AND OVER)	17	11	8	3	3	3	0	1	100
PREGNANT TEEN (UNDER 18)	7	4	0	0	0	1	0	0	22
WOMAN, BREASTFEEDING, NO FORMULA	7	3	2	2	1	1	0	0	16
WOMAN, PARTIAL BREASTFEEDING	3	1	0	2	1	0	0	0	9
Totals:	124	53	37	29	32	7	2	1	569

Sample WIC Income Eligibility Report

5. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
6. Click the Close icon to exit the preview screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
File Name - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.

Calculations

Poverty Levels - Count(Participants by Category and poverty level)

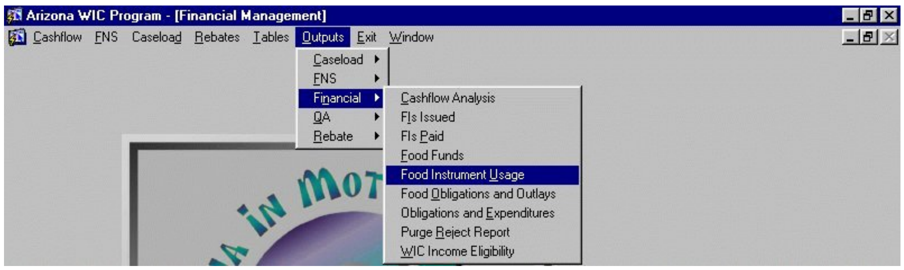
Background Processes

The column headings for the report are derived from the poverty levels base table. See maintain poverty level base table for more information.

Producing a Food Instrument Usage Report

To Produce a Food Instrument Usage Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on Financial, the sub-menu is displayed.
3. Click on Food Instrument Usage as shown below:



The Food Instrument Usage Window is displayed:

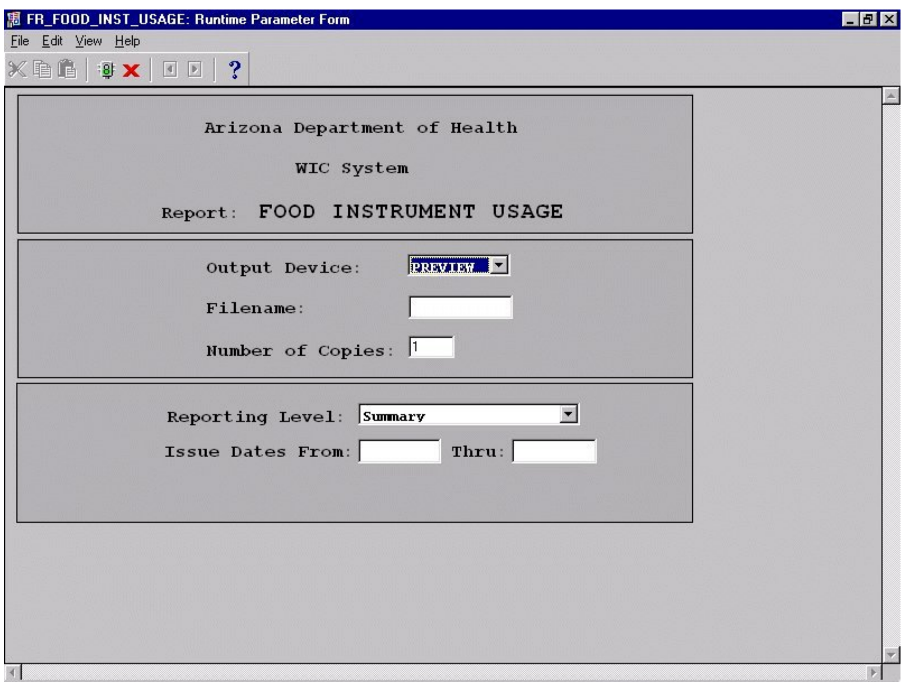
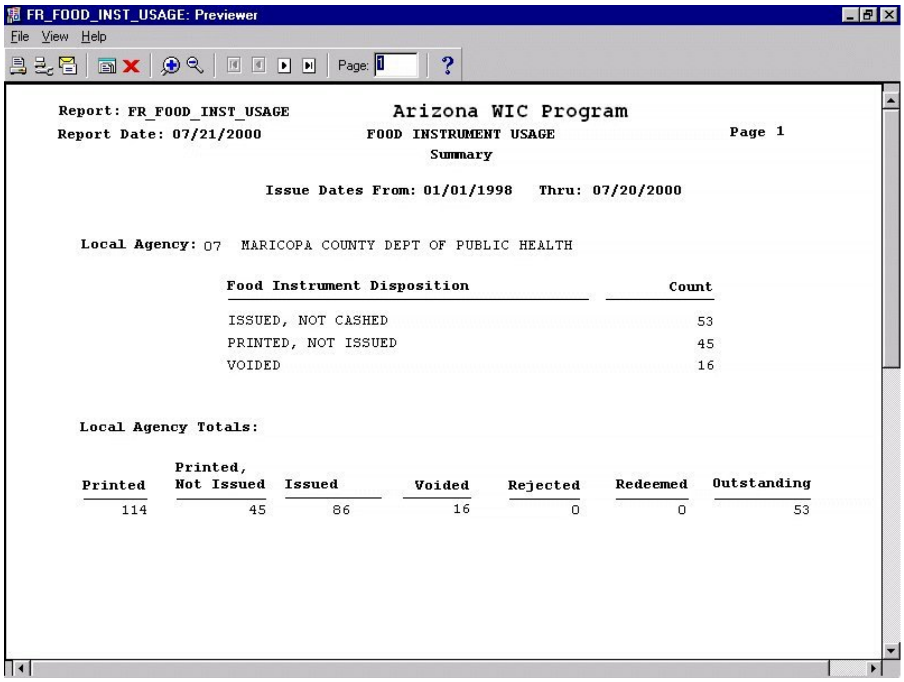


Figure 21 - Food Instrument Usage

Produce a Food Instrument Usage Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Food Instrument Usage report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated.

3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.
4. TAB to the Reporting Level field and select the appropriate organizational level for which the users wants to retrieve data.
5. TAB to the Issue Date From field and enter the beginning issue date the report will cover. This date should be formatted: MM/DD/YYYY.
6. TAB to the Thru field and enter the ending issue date the report will cover. This date should be formatted: MM/DD/YYYY.
7. Click the green light icon to bring up the preview screen shown below:



Sample Food Instrument Usage Report

7. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
8. Click the Close icon to exit the preview screen and return to the Financial Management Menu Screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
Filename - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
Issue Dates From - The user may designate the date that the report is to be queried starting on. This field is optional.
Thru - The user may designate the date that the report is to be queried ending on. This field is optional.

Reporting Level - The user may select the organizational level the user wants.

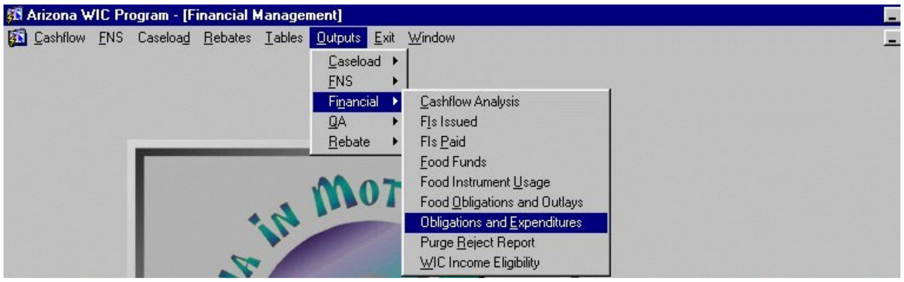
Calculations

Count - Count(FI Disposition)
Printed - Count(FI's)
Printed, Not Issued - Count(FI's not issued)
Issued - Count(FI's issued)
Voided - Count(FI's voided)
Rejected - Count(FI's rejected)
Redeemed - Count(FI's redeemed)
Outstanding - Issued **-** (Voided + Rejected + Redeemed)

Producing a Monthly Expenditures and Obligations Report

To Produce an Expenditures and Obligations Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on Financial, the sub-menu is displayed.
3. Click on Obligations and Expenditures as shown below:



The Expenditures and Obligations Window is displayed:

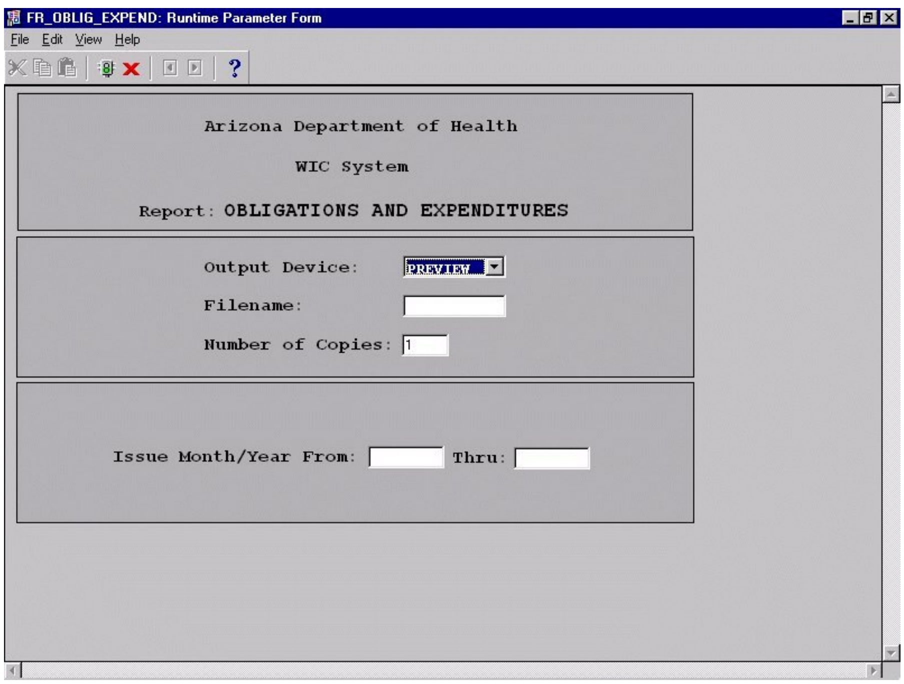
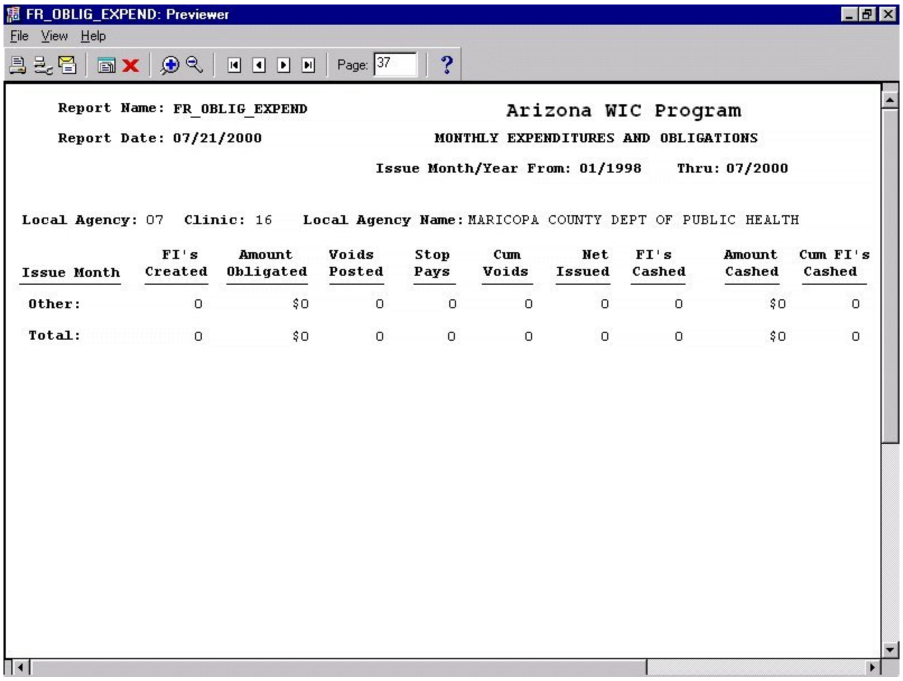


Figure 22 - Expenditures and Obligations

Produce an Expenditures and Obligations Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the Food Instrument Usage report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated.

3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.
4. TAB to the Issue Month/Year From field and enter the beginning issue date the report will cover. This date should be formatted: MM/DD/YYYY.
5. TAB to the Thru field and enter the ending issue date the report will cover. This date should be formatted: MM/DD/YYYY.
6. Click the green light icon to bring up the preview screen shown below:



Sample of Expenditures and Obligations Report

7. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
8. Click the Close icon to exit the preview screen and return to the Financial Management Menu Screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
Filename - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
Issue Month/Year From/Thru - The Issue Month/Year date range used in producing the report.

Calculations

FI's Created - The total number of FI's issued in the issue month specified.

Amount Obligated - Each FI issued has an obligation amount that is calculated as an average of the 10 Vendor class averages from the FI type (AZW305) report. The obligation amounts for all FI's issued are totaled.

Voids Posted - The FI has a void redemption status and a paid date in the report month (the month ending date). If the FI does not have a paid date in the report month, it is not added to Voids Posted, it is added to the Cum Voided total. All Voids Posted are also added to the Cum Voided total.

Stop Pays - A count of all FI's that have been flagged as Stop Payments. All Stop Pays are also added to the cumulative Voided total.

Cum Voided - A total number of all FI's with a void redemption status processed for that issue month. This includes all Voids Posted, Stop Pays, and voids that were processed in a prior month (void date not in the report month).

Net Issued - The number of FI's Created minus the number of Cum Voided.

FI's Cashed - The number of FI's with a cashed redemption status and a paid date in the report month. If the FI does not have a paid date in the report month, it is not added to FI's Cashed, it is added to the Cumulative FI Cashed.

Amount Cashed - The total dollar amount of FI's with a cashed redemption status and a paid date in the report month. This is the dollar amount of FI's Cashed column.

Cum FI's Cashed - The number of FI's with a cashed redemption status processed for that issue month. This includes the total from FI's Cashed and all cashed FI's that paid in prior months.

Cum Amount Cashed - The total dollar amount of FI's with a cashed redemption status. This is the dollar amount of the Cum FI Cashed column.

Outstanding FI's - Net Issued total minus the Cum FI's Cashed total.

Outstanding Obligations - This amount is calculated for each FI by FI type and accumulated in this field. The number of Outstanding FI's for a FI type multiplied by the average redemption rate for that FI type.

Totals at the bottom of the report are:

Uncashed Percentage For Closeout Month - The number of Outstanding FI's from the closeout month total line divided by the number of Net Issued from the closeout month total line.

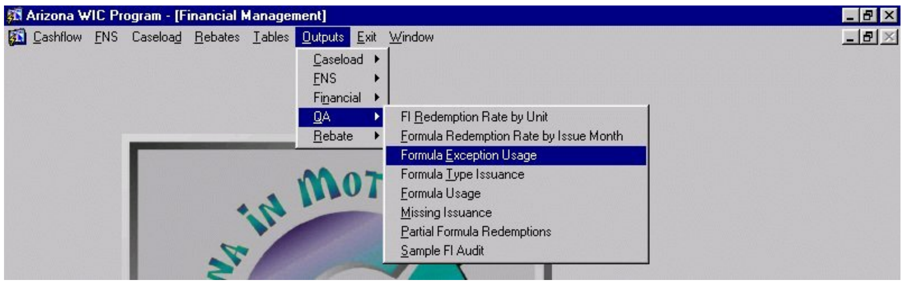
State Total page only:

The total number and dollar amount of Compliance Buy FI's are printed and the total number and dollar amount of FI's Cashed are brought forward to calculate a grand total for balancing to the bank statement.

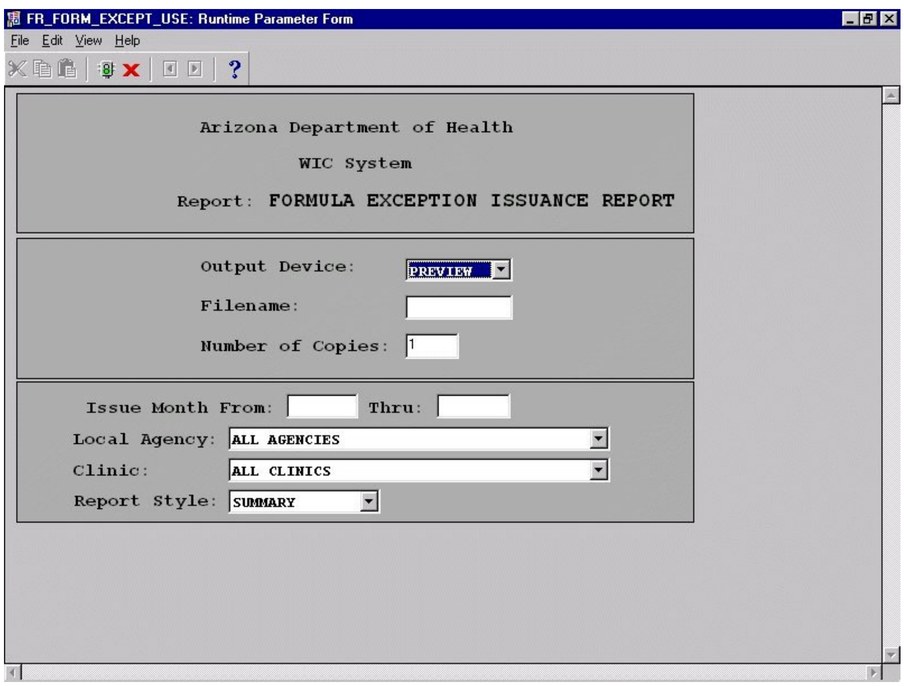
Producing a Formula Exception Usage Report

To Produce a Formula Exception Usage Report:

1. Click on Outputs from the menu bar.
2. Position the cursor on QA, the sub-menu is displayed.
3. Click on Formula Exception Usage as shown below:



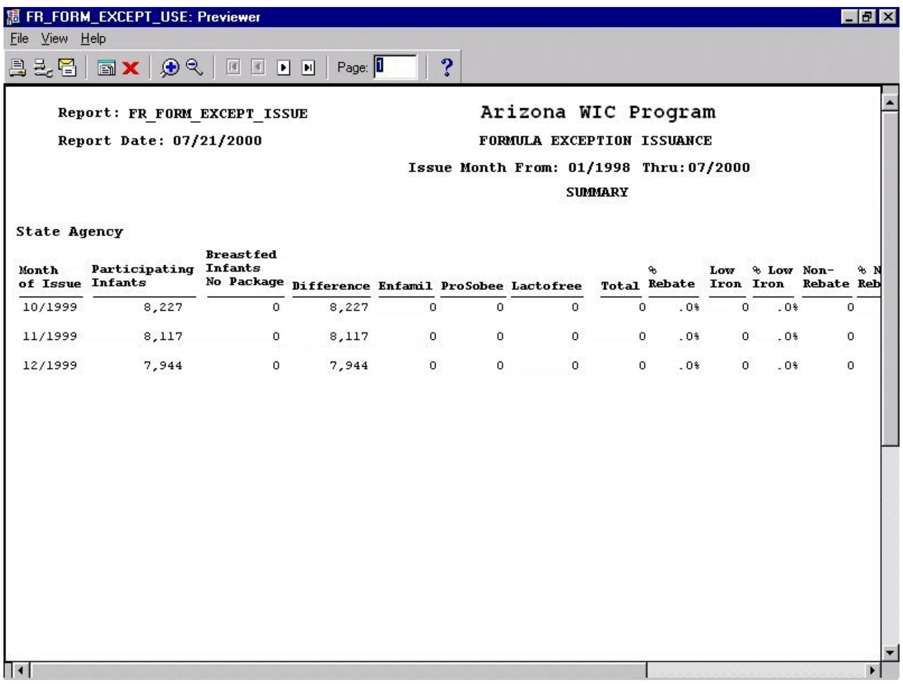
The Formula Exception Usage Window is displayed:



Produce a Formula Usage Report

1. Click the down arrow in the Output Device field to activate the drop down box, then select which output device the report will be sent to by clicking once on that device name.
2. TAB to the Filename field. Enter the filename to give the report being generated.
3. TAB to the Number of Copies field. Select the number of report copies desired by typing that number in this field.

4. Tab to the All field and use the down arrow to select yes or no, if yes is selected month and year are the only filtering fields processed. No is the default value.
5. Click the down arrow to the right of the Issue Month field, then select the month to be reported on by clicking once on its abbreviation.
6. TAB to the Year field, then enter the Federal Fiscal Year to report on in the following format: YYYY.
7. Tab to the Formula Type field. By clicking on the LOV, the user may select the formula type for restricting the report.
8. Tab to the Local Agency field. By clicking on the LOV, the user may select an ID and name of the local agency from which the FIs were issued.
9. Tab to the Clinic field. By clicking on the LOV, the user may select the ID and name of the clinic from which the FIs were issued.
10. Tab to the Report Style field. The user may choose to print detail and summary level or summary data only.
11. Click the green light icon to bring up the preview screen shown below:



Report: FR_FORM_EXCEPT_ISSUE
Report Date: 07/21/2000

Arizona WIC Program
FORMULA EXCEPTION ISSUANCE
Issue Month From: 01/1998 Thru: 07/2000
SUMMARY

State Agency

Month of Issue	Participating Infants	Breastfed Infants No Package	Difference	Enfamil	ProSobee	Lactofree	Total	% Rebate	Low Iron	% Low Iron	Non-Rebate	% N Reb
10/1999	8,227	0	8,227	0	0	0	0	.0%	0	.0%	0	
11/1999	8,117	0	8,117	0	0	0	0	.0%	0	.0%	0	
12/1999	7,944	0	7,944	0	0	0	0	.0%	0	.0%	0	

Sample of Formula Usage Report

12. Click the Previous, Next, First, Last, and Page icons at the top of the screen to move forward and backward through the report pages.
13. Click the Print icon to print the report. To activate the system's e-mail capabilities, click the Mail icon.
14. Click the Close icon to exit the preview screen and return to the Financial Management Menu Screen. Click the New icon to view a new copy of the same preview screen.

Fields

Output Device - The user may select (from a drop down list) screen, file, printer, mail, or preview.
Filename - If file is selected (above), the directory and filename are entered.
Number of Copies - If printer is selected (above) the number of copies desired is entered.
All – The User may choose yes or no, if yes is selected month and year are the only filtering fields processed. No is the default value.
Issue Month - The user may designate the month that the report is to be queried.
Year - The user may designate the federal fiscal year that the report is to be queried.
Formula Type – The user may restrict the report to a formula type for this report. This field is required.
Local Agency – The user may restrict the report to retrieve data for a local agency. This field is required.
Clinic – The user may restrict the report to retrieve data from a specific clinic. This field is required.
Report Style – The user may select summary or detailed report. This filed is required.

Calculations

Participating Infants - COUNT(infants)
Breastfed infants - COUNT(infants breast feeding pattern)
Difference - breast fed infants - participating infants
Enfamil - count(formula type)
ProSobee - count(formula type)
Lactofree - count(formula type)
Total - Enfamil + ProSobee + Lactofree (rebate able formulas)
% Rebate - Total divided by participating infants
Low Iron - count(formula type)
% Low Iron - Low Iron divided by participating infants
Non Rebate - count(formula type)
% Non Rebate - Non Rebate divided by participating infants
Special - count(formula type)
% Special - Special divided by participating infants
% Total Non Rebate - % Low Iron + % Non Rebate + % Special

List of Figures